

Lancashire County Council

Executive Scrutiny Committee

Tuesday, 2nd February, 2016 at 2.00 pm in Cabinet Room 'C' - The Duke of Lancaster Room, County Hall, Preston

Agenda

Part I (Open to Press and Public)

No. Item

1. Apologies

2. Disclosure of Pecuniary and Non-pecuniary Interests

Members are asked to consider any Pecuniary or Non-pecuniary Interests they may have to disclose to the meeting in relation to matters under consideration on the Agenda.

3. Minutes of the meeting held on 19 January 2016 (Pages 1 - 4)

4. Reports for decision by Cabinet

(a) The Annual Audit Letter for Lancashire County Council - Year Ended 31 March 2015 (Pages 5 - 14)

(b) Lancashire County Council Treasury Management Policy and Strategy 2016/17 (Pages 15 - 52)

(c) Property Strategy Implementation Time Scale (Report to follow)

(d) Libraries (Stage 1) - Consultation Responses (Report to follow)

(e) Regulation of Investigatory Powers Act 2000: Annual Report to Cabinet (Pages 53 - 88)

5. Forthcoming Individual Cabinet Member Key Decisions

(a) Social Value Policy and Framework (Pages 89 - 98)

- (b) **Determination of Relevant Area for Consultation on Admission Arrangements for Lancashire Maintained Schools and Academies for 2017/18, 2018/19 and 2019/20** (Pages 99 - 102)
- (c) **Determination of Admission Arrangements for Community and Voluntary Controlled Primary and Secondary Schools and Sixth Forms for the School Year 2017/18** (Pages 103 - 150)
- (d) **Co-ordinated Admission Scheme 2017-18 - Determination of the Qualifying Scheme** (Pages 151 - 166)
- (e) **Fee Uplift - Home Care Framework** (Pages 167 - 170)
- (f) **Resident Parking Schemes - Administration and Charges** (Pages 171 - 178)
- (g) **Proposed Cycle Tracks, Ringway, Corporation Street and Fleet Street, Preston** (Pages 179 - 186)
- (h) **Proposed Preston Bus Station and On-Street Parking Charges** (Pages 187 - 210)

6. Urgent Business

An item of urgent business may only be considered under this heading where, by reason of special circumstances to be recorded in the Minutes, the Chair of the meeting is of the opinion that the item should be considered at the meeting as a matter of urgency. Wherever possible, the Chief Executive should be given advance warning of any Member's intention to raise a matter under this heading.

7. Date of Next Meeting

The next meeting of the Executive Scrutiny Committee will be held on Tuesday, 8 March 2016 at 2pm at the County Hall, Preston.

8. Exclusion of Press and Public

The Committee is asked to consider whether, under Section 100A(4) of the Local Government Act 1972, it considers that the public should be excluded from the meeting during consideration of the following items of business on the grounds that there would be a likely disclosure of exempt information as defined in the appropriate paragraph of Part I of Schedule 12A to the Local Government Act 1972 as indicated against the heading to the item.

Part II (Not Open to Press and Public)

9. Forthcoming Individual Cabinet Member Key Decisions

- (a) **Amendment to the Award of Framework Contracts for the Servicing, Repair and Maintenance of Mechanical and Electrical Equipment** (Pages 211 - 214)

(Not for Publication - Exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972. It is considered that in all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information.)

- (b) **Approval to Award Contracts for Advocacy Services (Countywide)** (Pages 215 - 218)

(Not for Publication - Exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972. It is considered that in all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information.)

- (c) **Proposal to Charge for Membership of Trading Standards Safe Trader Scheme** (Pages 219 - 238)

(Not for Publication - Exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972. It is considered that in all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information.)

**(d) Children's Social Care Referral and
Assessment Service Framework**

(Pages 239 - 242)

(Not for Publication - Exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972. It is considered that in all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information.)

I Young
Director of Governance,
Finance and Public Services

County Hall
Preston

Lancashire County Council

Executive Scrutiny Committee

Minutes of the Meeting held on Tuesday, 19th January, 2016 at 2.00 pm in Cabinet Room 'C' - The Duke of Lancaster Room, County Hall, Preston

Present:

County Councillor Bill Winlow (Chair)

County Councillors

A Atkinson	C Dereli
A Barnes	G Driver
Mrs S Charles	M Green
D Clifford	S Holgate
B Dawson	D O'Toole
G Dowding	N Penney

County Councillor C Dereli replaced County Councillor J Oakes at this meeting.

1. Apologies

None.

2. Disclosure of Pecuniary and Non-pecuniary Interests

None.

3. Minutes of the meeting held on 5 January 2016

Resolved: That the Minutes of the meeting held on 5 January 2016 be confirmed and signed by the Chair.

4. Reports for decision by Cabinet

The Committee considered the following reports on decisions due to be taken by the Cabinet.

a. Money Matters - The Financial Strategy for 2016/17 to 2020/21

The Deputy Leader of the Council introduced a report which set out the impact of the Autumn Statement and the Finance Settlement for 2016/17; provided an update of the forecast outturn position for 2015/16 and the Medium Term Financial Strategy for 2016/17 to 2020/21; and the position with regard to reserves.

Attention was drawn to the reduction of £303.3m in central government support over the period 2016/17 to 2019/20, noting that the settlement announced

immediately before Christmas had presented the Council with an even greater reduction in financial resources than previously anticipated.

Damon Lawrenson, interim Director of Financial Resources, set out the detail contained in the report. The work to reduce the predicted overspend in the current financial year was welcomed, but it was emphasised that the financial position of the council was such that, whilst a legal balanced budget could be set for 2016/17, there were a number of significant risks in the councils financial position that meant that it was not currently possible to say with confidence that a legal balanced budget could be set for 2017/18. It was made clear that the position in 2017/18 was heavily dependent on the timely delivery of the budget proposals announced by Cabinet, and that any delay would require the greater use of reserves, threatening the position for later years.

It was **MOVED** and **SECONDED** that the recommendations set out in the report be noted, to which the following amendment was **MOVED** and **SECONDED**:

"That the Committee requests the Cabinet not to proceed with the proposed cuts to the flood risk budget, subsidised bus routes budget, libraries, museums, the Knott End Ferry and transport to day centres." Upon being put to the vote the amendment was lost and the original motion was then put to the vote. The original motion was carried and it was:

Resolved: That the recommendations set out in the report to Cabinet be noted, and that no additional comments or alternative recommendations be made.

b. Responses to Consultation

Mike Walker, Information, Intelligence, Quality and Performance Manager, attended to present the responses to the consultation on the Cabinet's proposed budget options. It was reported that the individual responses would be made available to all members of the Council.

It was confirmed that the responses, along with responses from any further individual budget decisions and proposals would be used to review and update existing equality analyses as appropriate.

Resolved: That the recommendations set out in the report to Cabinet be noted, and that no additional comments or alternative recommendations be made.

5. Urgent Business

None.

6. Date of Next Meeting

It was noted that the next meeting of the Committee would be held on Tuesday, 2 February 2016 at 2pm at the County Hall, Preston.

7. Exclusion of Press and Public

Resolved: That under Section 100A(4) of the Local Government Act, 1972, the press and public should be excluded from the meeting during consideration of the following items of business on the grounds that there would be a likely disclosure of exempt information as defined in the appropriate paragraphs of Part 1 of Schedule 12A to the Local Government Act, 1972 and that in all circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

8. Forthcoming Individual Cabinet Member Key Decisions

The Committee considered the following reports on Key Decisions due to be taken by individual cabinet members as indicated.

a. Award of Highways Repair and Maintenance Works based on Dayworks

(Not for Publication – Exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972. It is considered that in all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information)

The Committee considered a report on the proposed award of contracts for the provision of Highways, Repairs and Maintenance works.

Resolved: That the recommendation set out in the report to the Cabinet Member for Highways and Transport be noted, and that no additional comments or suggested alternative recommendations be made.

b. Recommendation of Contract Award for Reablement Services

(Not for Publication – Exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972. It is considered that in all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information)

The Committee considered a report on the proposed award of contracts for a Reablement Service in Lancashire.

Resolved: That the recommendation set out in the report to the Cabinet Member for Adult and Community Services be noted, and that no additional comments or suggested alternative recommendations be made.

I Young
Director of Governance, Finance
and Public Services

County Hall
Preston

Cabinet

Meeting to be held on 4 February 2016

Report of the External Auditor

Electoral Division affected:

None

The Annual Audit Letter for Lancashire County Council – Year Ended 31 March 2015

(Appendix 'A' refers)

Contact for further information:

Karen Murray, 0161 234 6364, Director, Grant Thornton

Karen.L.Murray@uk.gt.com

Executive Summary

The report sets out the external auditor's Annual Audit Letter for Lancashire County Council for the year ended 31 March 2015.

Recommendation

Cabinet is asked to note the key messages set out in the Annual Audit Letter for Lancashire County Council for the year ended 31 March 2015 as set out at Appendix 'A'.

Background and Advice

The Annual Audit Letter summarises the key findings arising from the work that Grant Thornton, the County Council's external auditor, has carried out at Lancashire County Council for the year ended 31 March 2015.

The Letter is intended to communicate key messages to the Council and external stakeholders, including members of the public. The external auditor's annual work programme, which includes nationally prescribed and locally determined work, has been undertaken in accordance with the Audit Plan that was issued in April 2015 and was conducted in accordance with the Audit Commission's Code of Audit Practice, International Standards on Auditing (UK and Ireland) and other guidance issued by the Audit Commission.

The Annual Audit Letter will be considered by the County Council's Audit and Governance Committee on 25 January 2016.

Consultations

N/A

Implications:

This item has the following implications, as indicated:

Risk management

No significant risks have been identified.

List of Background Papers

None

Reason for inclusion in Part II, if appropriate

N/A

The Annual Audit Letter for Lancashire County Council

Year ended 31 March 2015

27 October 2015

Karen Murray

Director

T 0161 234 6364

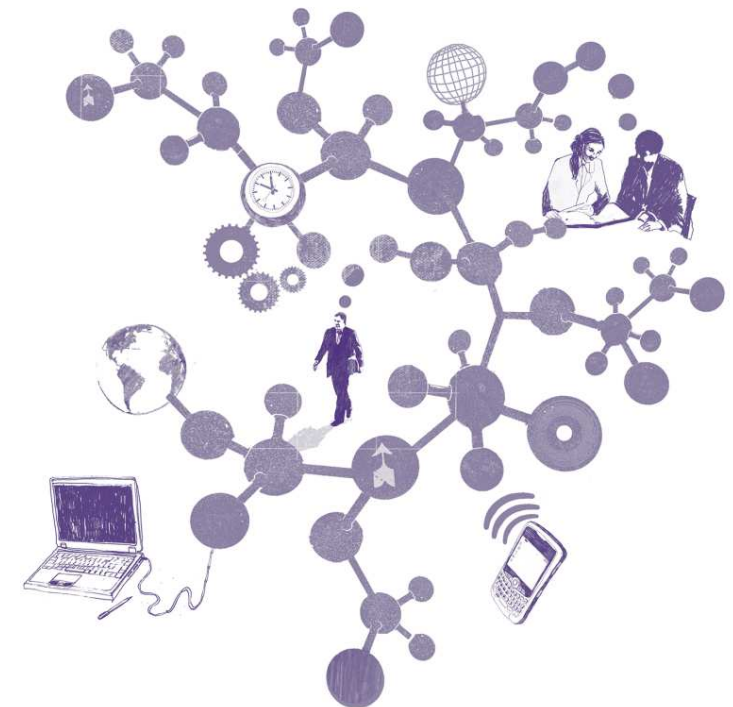
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Key messages

Our Annual Audit Letter summarises the key findings arising from the work that we have carried out at Lancashire County Council ('the Council') for the year ended 31 March 2015.

The Letter is intended to communicate key messages to the Council and external stakeholders, including members of the public. Our annual work programme, which includes nationally prescribed and locally determined work, has been undertaken in accordance with the Audit Plan that we issued on 13 April 2015 and was conducted in accordance with the Audit Commission's Code of Audit Practice, International Standards on Auditing (UK and Ireland) and other guidance issued by the Audit Commission and Public Sector Audit Appointments Limited.

Financial statements audit (including audit opinion)

We reported our findings arising from the audit of the financial statements for the County Council and the Lancashire Pension Fund in our Audit Findings Reports to the Audit and Governance Committee on 28 September 2015.

The key messages from our audit of the County Council's accounts were:

- The financial statements were prepared to a good standard and were largely complete
- We agreed some changes to the accounts to improve the disclosures, particularly relating to the Council's refinancing of the waste PFI scheme.

At the time of the Audit & Governance Committee our review of the Council's Whole of Government Accounts (WGA) return was outstanding. As part of the work required to complete this, we identified one further error in the Council's accounts. This related to grant paid to the Council by Department for Education. It was classified within the statement of accounts as being from an other government department but was correctly reflected in the whole of government accounts return as having been paid by Department for Education. The grant of £2.3m was not material to the statement of accounts. We agreed with management and the Chair of the Audit Committee not to amend the accounts for this on the grounds of materiality.

The key messages arising from our audit of the Lancashire Pension Fund accounts were:

The financial statements were prepared to a good standard

- We did not identify any adjustments impacting on the fund's reported financial position
- We agreed a number of amendments to improve the presentation and disclosures in the statements, including a non-adjusting post balance sheet event note in respect of the asset and liability management partnership proposal with the London Pension Fund Authority.

We issued an unqualified opinions on the two sets of financial statements on 30 September 2015, meeting the deadline set by the Department for Communities and Local Government. Our opinion confirms the financial statements give a true and fair view of the financial position and of the income and expenditure recorded by the Council and the Pension Fund.

Key messages - continued

Value for Money (VfM) conclusion

We issued a qualified VfM conclusion for 2014/15 on 30 September 2015.

On the basis of our work, and having regard to the guidance on the specified criteria published by the Audit Commission, we highlighted the following issues which gave rise to an 'except for' VfM conclusion:

- The Council's Head of Internal Audit was unable to issue an overall opinion on the system of internal control at the Council for 2014/15 because of the narrow scope of work undertaken by internal audit;
- On bringing the Council's procurement function back in house in April 2014, the Council identified several contracts which had either expired, or were due to expire, before they could be properly re-procured;
- The Council's financial planning has identified significant financial pressures from 2015/16 onwards. The Council is now working to identified savings to meet a spending gap from 2016/17 to 2020/21 of £294m.

Overall, our work highlighted that the Council has had a challenging year. These challenges have impacted on the Council's wider governance framework. The Council has reflected this in its Annual Governance Statement for the year and subsequent update reports to the Audit & Governance Committee.

In 2013/14, the Council's Head of Internal Audit give an overall "limited assurance" opinion on the operation of the Council's overall system of internal control. Management Team set out their commitment to ensuring the issues were addressed in 2014/15 and a decision was taken to re-direct Internal Audit resource for the remainder of the 2014/15 year. A revised audit plan was presented to the Audit & Governance Committee in January 2015. The consequences of these changes to the audit plan were that:

- management now has assurance that the specific controls identified as 'not operating' during 2013/14 have been addressed;
- Internal Audit's work on 4 key financial systems (General Ledger, Treasury Management, Payroll and Central Accounts Payable) provided assurance over the operation of the controls within those areas; but
- the revised plan (as approved) did not provide sufficient coverage of the Council's activities to support an overall Head of Internal Audit opinion in compliance with the requirements of Public Sector Internal Audit Standards.

Management Team have re-iterated their commitment to ensuring that there is a robust internal control framework in place across the Council and for 2015/16, intended to use the skills and experience of the Internal Audit team to work with Heads of Service across the Council to ensure risks and controls have been properly identified and are being operated as intended. However, this work had not yet commenced at September 2015 because the Council identified a lack of capacity in the finance department to work on a number of key projects. Staff from Internal Audit were seconded to the finance team to provide operational support but will all return to their substantive posts by the end of November 2015.

Key messages - continued

Value for Money (VfM) conclusion

More recently, a high level audit plan has been prepared which provides for coverage of the Council's main financial systems. The work to be completed by the remaining available internal audit resource is currently being refined to ensure it is properly focussed on the areas of risk. There is a recognition that this will need to be considered further in the light of the strategic decisions expected to be taken by members about the future size and shape of the Council. The plan will be presented to the Audit and Governance Committee in January 2016 although work in delivering elements of it will already be underway.

Further progress has been made in addressing the other weaknesses in the Council's governance framework identified in 2013/14 and 2014/15:

- action has been taken to address the failures in the procurement service. Since it was brought back in house in April 2014, a procurement strategy has been developed and a comprehensive contract register has been put together. This will provide a basis for the re-letting of contracts in line with proper processes
- significant progress has been made in strengthening the Council's arrangements for Information Governance;
- the Council's arrangements for identifying, assessing and reporting risks has been developed and work is now underway to ensure it is consistent and embedded across the Council. A formal risk register is due to be approved by Management Team and will be presented to Audit and Governance Committee in January 2016.

We have also considered the Council's arrangements to challenge economy, efficiency and effectiveness against the following themes:

- Prioritising resources
- Improving efficiency & productivity

Overall our work highlighted the Council has delivered the first phase of its transformation programme during 2014/15. The restructure of the Council's Management Team, with new roles and responsibilities in place, supports a more streamlined and focussed Council. In addition, the Council has moved away from its former directorate structure and has appointed Heads of Service to lead the operational delivery. However, the transformation programme has now been paused whilst the Council considers its options for meeting the savings gap and on-going service pressures identified. The scale of the savings needed by the Council mean some very difficult decisions will be required on the way in which statutory services will be delivered, and on the options for, and scale of, discretionary services provided in the future.

Overall, the Council remains in a difficult and challenging position. We will continue to monitor progress to ensure that actions remain on track.

Key messages - continued

Whole of Government Accounts	We reviewed the consolidation pack which the Council prepared to support the production of Whole of Government Accounts. We reported that the Council's pack was consistent with the audited financial statements, except for one unadjusted item in the statement of accounts that was correctly disclosed in the Whole of Government Accounts.
Audit fee	Our fee for Council's 2014/15 audit was £150,660, excluding VAT which was in line with our planned fee for the year. The fee for the pension fund audit was £35,906. Further detail is included within Appendix A.

Appendix B: Reports issued and fees

We confirm below the fees charged for the audit and non-audit services.

Fees for audit services

	Per Audit plan £	Actual fees £
Council audit	150,660	150,660
Grant certification on behalf of Audit Commission	2,800	2,800
Pension Fund audit scale fee	34,169	34,169
IAS19 Protocol audit work	1,737	1,737
Total audit fees	189,366	189,366

Fees for other services

Service	Fees £
Audit related services	
<ul style="list-style-type: none">Reasonable assurance report on the 2014/15 Teacher's Pensions return	4,200

Reports issued

Report	Date issued
Audit Plan	April 2015
Audit Findings Report	September 2015
Annual Audit Letter	October 2015



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Cabinet

Meeting to be held on 4 February 2016

Report of the Interim Director of Financial Resources

Electoral Divisions affected: All

Lancashire County Council Treasury Management Policy and Strategy 2016/17 (Appendices 'A', 'B', and 'C' refer)

Contact for further information:

Mike Jensen, 01772 534742, Chief Investment Officer,
mike.jensen@lancashire.gov.uk

Executive Summary

This report outlines the proposed Treasury Management Policy and Strategy for 2016/17 as required by the Chartered Institute of Public Finance and Accountancy (CIPFA) Treasury Management Code of Practice. It includes the County Council's borrowing and investment strategies, the updated strategy on the use of financial derivatives and the new proposed minimum revenue provision policy, together with the treasury management prudential indicators which seek to ensure that the Council's borrowing levels remain both sustainable and affordable.

The MRP policy incorporates changes which propose that the MRP, with respect to repaying the pre 2007 debt is over 50 years rather than a 4% reducing balance and changing the post 2007 debt to an annuity basis are implemented. Attached as Appendix 'C' is the revised MRP policy for approval.

Approval of the Treasury Management Policy and Strategy is a matter reserved to the Full Council.

Recommendations

Cabinet is asked to:

- (i) Recommend the treasury management policy as set out at Appendix 'A' to the Full Council for approval.
- (ii) Recommend the treasury management strategy for 2016/17 as set out at Appendix 'B' to Full Council for approval.
- (iii) In respect of the new minimum revenue provision set out at Appendix 'C', recommend that Full Council:
 - a. Approves the Capital Financing Requirement method and the Asset Life method (Equal Charge approach) for expenditure funded from borrowing incurred in 2015/16 and future years.
 - b. Charges to revenue a sum equal to the repayment of any credit liability.

- | |
|--|
| <ul style="list-style-type: none">c. Approves the proposed treatment of assets constructed under the Preston, South Ribble and Lancashire City Deal and Homes and Community Agency Local Infrastructure Fund, subject to annual review.d. Implement the changes to the MRP policy from 2015/16. |
|--|

Background and Advice

Treasury management is the management of the Council's investments and cash flows, its banking, money market and capital market transactions; it also includes the effective control and management of the risks associated with these activities, ensuring that the Council gets the best performance for the least risk.

The Treasury Management Strategy sets out the Council's policies for ensuring the security and liquidity of its investments, whilst having regard to investment returns in order to protect the value of the funds. It also outlines the Council's strategy for financing existing borrowing and future capital borrowing requirements, with the aim of securing the required funds at the lowest possible rate.

Minimum Revenue Provision

The MRP is an annual charge to the revenue account to pay for capital expenditure that was originally funded by debt. Before the 2007/08 financial year, the method of calculating MRP was specified in legislation. Since then the authority has had to make a prudent provision for MRP giving consideration to guidance issued by the Department for Communities and Local Government (DCLG). This guidance includes a number of methods which it considers to be prudent. The guidance is clear that authorities are also free to devise other methods they consider prudent. The guidance suggests that:

- MRP on assets acquired through finance leases and Private Finance Initiative (PFI) should be equal to the cash payments that reduce the outstanding liability each year;
- MRP on all capital expenditure incurred before 1st April 2008, and on expenditure funded by supported borrowing thereafter, is equal to 4% of the outstanding debt
- MRP on expenditure incurred from April 2008 onwards that is funded by unsupported "prudential" borrowing should be calculated by reference to the asset's useful life, using either a straight line or an annuity method, starting in the year after the asset becomes operational.

In determining a prudent charge the debt accrued pre and post 2007/8 should be considered separately.

Debt accrued post 1 April 2008

The MRP for capital expenditure funded by debt from 1 April 2008 has been calculated based on the life of the assets. This was one of the methodologies

outlined in the DCLG Guidance and has been applied so that each year has an equal MRP charge. An alternative approach is the annuity method which is the cheapest MRP option in the early years, and once interest costs are taken into account maintains a constant impact on the revenue account over the useful life of the asset being financed.

It is estimated that the 2016/17 MRP charge based on the existing method would be £6.4m. Applying an annuity method would reduce this by approximately £1.4m in 2015/16 although the saving would reduce over time as shown in the table below:

	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
	£m	£m	£m	£m	£m	£m
Current basis	6.397	5.978	5.536	4.970	4.970	4.970
Annuity basis	4.940	4.667	4.353	3.890	4.015	4.144
Reduction in charge	1.457	1.311	1.183	1.080	0.955	0.826

Debt accrued pre 1 April 2008

The estimated MRP charge in 2016/17 for the pre 2007/8 debt represents the major share of the MRP charge. This is based on 4% of the outstanding capital expenditure to be financed. The 4% rate was initially set in legislation and it was the amount assumed in the calculations used for distributing the Revenue Support Grant between authorities. Hence this debt was considered to be supported borrowing. In assessing whether this is still the most appropriate basis for the calculation of the prudent charge the long term impact of the charge and the relationship with the grant need to be considered.

The current calculation is on a reducing balance and therefore it is effectively never totally repaid. It is estimated that between 51 and 100 years' time the MRP charge will be in the region of £54m. Although many of the assets financed by borrowing were of a long term nature (schools and roads) it is likely that a major refurbishment of the asset will be required at some point and therefore a methodology which does not have an end point could be deemed not to be prudent.

Since 2007/8 the funding of the local authorities has changed significantly. LG Futures state that "The introduction of Business Rates Retention in April 2013, coupled with the significant annual reductions to the Settlement Funding allocations, the continued top-slicing of Revenue Support Grant (RSG) and increasing allocations through New Homes Bonus, have a significant impact upon the national balance of funding made available to local government across these grant streams. The national dynamics, changing as they are, will vary at a local level to provide a varying position between each authority" They estimate by 2019/20 the RSG will fund 5% of local government expenditure compared to 25% in 2013/14. Given this

level of fluctuation and the expected reductions in funding it seems valid to question whether the grant received includes a provision to repay debt at a level of 4%. In addition the Chancellor of the Exchequer has announced changes to the funding of local government which would see the abolition of Revenue Support Grant.

An alternative method of calculating the MRP would be to consider the length of time it is anticipated the assets have an economic benefit. The assets acquired or improved in the past would have a long term benefit and in accordance with the County Council's depreciation policy most of the County Council's property assets are seen as having an asset life in excess of 50 years. It would therefore seem appropriate to change the MRP for the pre 2007/8 debt to be repaid over 50 years rather than the reducing 4% balance. This would be deemed to be prudent as it has a definite end yet the period is not excessive taking into account current estimates of the authority's asset lives.

Based on current estimates of the capital financing requirement the estimated charges would be:

	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
	£m	£m	£m	£m	£m	£m
MRP on 4% reducing balance	17.774	17.063	16.380	15.725	15.096	14.492
50 years equal instalment	8.887	8.887	8.887	8.887	8.887	8.887
Reduction in MRP charge	8.887	8.176	7.493	6.838	6.209	5.605

MRP Policy

It is proposed that the changes to MRP with respect repaying the pre 2007 debt over 50 years and changing the post 2007 debt to an annuity basis are implemented. It is proposed that his implementation will come into effect from the 2015/16 financial year. This amends the decision taken in February 2015 in previously agreeing the 2015/16 MRP policy. Attached as Appendix C is the revised MRP policy for approval.

Consultations

Arlingclose Ltd who are the Council's external treasury management advisers

Implications:

This item has the following implications, as indicated:

Risk management

The objective of the treasury management strategy is to ensure the security of the County Council's invested reserves and balances, and to ensure that any borrowing made for cash flow or capital purposes is as efficient and cost effective as possible. In addition the strategy provides liquidity to ensure the County Council is able to meet operational objectives on a daily basis and that any daily surplus funds are invested safely. The strategy must protect the County Council's financial resources from credit risk, inflation and interest rate risk, and to that end, this document sets out how the County Council will engage with and operate within financial markets.

List of Background Papers

Paper	Date	Contact/Tel
CIPFA Treasury Management Code of Practice	2011	Andrew Ormerod 01772 534740
CIPFA Treasury Risk Management Toolkit	2012	Andrew Ormerod 01772 534740
CIPFA Using Financial Instruments to Manage Risk	2013	Andrew Ormerod 01772 534740
Arlingclose Ltd, Credit Risk Report	December 2015	Andrew Ormerod 01772 534740

Reason for inclusion in Part II, if appropriate

N/A

Treasury Management Policy Statement

The County Council's financial regulations require it to create and maintain a treasury management policy statement, stating the policies, objectives and approach to risk management of its treasury activities, as a cornerstone for effective treasury management.

Definition

The County Council defines its treasury management activities as:

- the management of the authority's investments and cash flows,
- its banking, money market and capital market transactions;
- the effective control of the risks associated with those activities; and
- the pursuit of optimum performance consistent with those risks.

Risk Appetite

The County Council's appetite for risk within its treasury management activities is low. A premium is placed on the security of capital and credit risk management and on the maintenance of financial stability in terms of managing inflation and interest rate risk, their effects on the County Council's reserves and balances and on the cost of borrowing.

Risk management

The County Council regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on how the actions taken and the financial instruments entered into result in reduced risk exposure for the County Council.

Value for money

The County Council acknowledges that effective treasury management provides support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable comprehensive performance measurement techniques, within the context of effective risk management.

Borrowing policy

The County Council greatly values revenue budget stability and therefore, all other things being equal, will meet its long-term funding needs at long-term fixed rates of interest. However, short-term and variable rate loans will be borrowed to either offset short-term and variable rate investments or to contribute to the County Council's stated objective of providing cost efficient capital funding. The County Council will also constantly evaluate debt restructuring opportunities of the existing portfolio.

The County Council will set an affordable borrowing limit each year in compliance with the *Local Government Act 2003*, and will have regard to the *CIPFA Prudential Code for Capital Finance in Local Authorities 2011* when setting that limit. It will also set

limits on its exposure to changes in interest rates and limits on the maturity structure of its borrowing in the treasury management strategy report each year. The County Council also has regard to other relevant CIPFA publications such as 'Treasury Risk Toolkit for Local Authorities' (2012) and 'Using Financial Instruments to Manage Risk' (2013.)

Cash Backing of Reserves

The County Council is committed to the prudent management of its finances. In pursuit of this objective the County Council should ensure that it holds investment balances sufficient to meet the value of those balance sheet items such as reserves and provisions which will be drawn down as cash. These investment balances will have due regard to the anticipated timing for the drawdown of the cash backed reserves and provisions. In particular the planned use of reserves in the County Council revenue budget will impact on the level of investments held.

Investment policy

The County Council's primary objectives for the investment of its surplus funds are to protect the principal sums invested from loss, through either credit events or loss of value by inflation erosion or interest rate changes, and to ensure adequate liquidity so that funds are available for expenditure when needed. The generation of investment income to support the provision of local authority services is an important, but secondary, objective.

The County Council will have regard to the Communities and Local Government Guidance on Local Government Investments and will approve an investment strategy each year as part of the treasury management strategy. The strategy will set criteria to determine suitable organisations with which cash may be invested, limits on the maximum duration of such investments and limits on the amount of cash that may be invested with any one organisation.

The County Council's Treasury Management Strategy 2016/17

1. Introduction and Legislative Framework

Under the Local Government Act 2003, local authorities must have regard to Statutory Proper Practices in their Treasury Management activities. In February 2012 the Council adopted the Chartered Institute of Public Finance and Accountancy's *Treasury Management in the Public Services: Code of Practice 2011 Edition* (the CIPFA Code.) These together require the County Council to set out its strategy in relation to key aspects of its treasury management operations on an annual basis.

In addition, the Department for Communities and Local Government (CLG) issued revised guidance on local authority investments in March 2010 that requires the County Council to approve an investment strategy before the start of each financial year. The strategy also has regard to other CIPFA treasury management publications such as risk management in 'Treasury Risk Toolkit for Local Authorities' (2012) and the use of derivatives in 'Using Financial Instruments to Manage Risk' (2013.)

In line with these various requirements this strategy includes:

- The Annual Borrowing Strategy
- The Council's Policy on Borrowing in Advance of Need
- The Annual Investment Strategy
- Policy on Use of Financial Derivatives
- The Prudential Indicators (Annex A to this Appendix)
- The Annual MRP statement (Appendix C to this report.)

In conjunction with the treasury management policy statement and the detailed treasury management practices approved by the section 151 officer, these provide the policy framework for the engagement of the County Council with the financial markets in order to fund its capital investment programme, maintain the security of its cash balances and protect them and ultimately the County Council's operations from credit, liquidity, inflation and interest rate risk.

2. Strategic Objectives of the Treasury Management Strategy

The County Council's treasury management strategy is designed to achieve the following objectives:

- a) To ensure the security of the principal sums invested which represent the County Council's various reserves and balances
- b) To ensure that the County Council has access to cash resources as and when required
- c) To minimise the cost of the borrowing required to finance the County Council's capital investment programme, and manage interest rate inflation rate risks appropriately.

- d) To maximise investment returns commensurate with the County Council's policy of minimising risks to the security of capital and its liquidity position.

In the context of these objectives it will be the County Council's policy to hold as investments a sum as close to the cash value of its balance sheet as possible, matching both value and duration as closely as possible.

3. Setting the Treasury Management Strategy for 2016/17

In setting the treasury management strategy, the County Council must have regard to the following factors which will have a strong influence over the strategy adopted:

- economic forecasts – the economic and legislative context
- the level of the approved capital programme which generates the borrowing requirement,
- the current structure of the County Council's investment and debt portfolio
- prospects for interest rates and market liquidity

3.1 Economic Forecast

Economic context

Domestic demand has grown robustly, supported by sustained real income growth and a gradual decline in private sector savings. Low oil and commodity prices contributed to annual CPI inflation falling to 0.1% in October. Wages are growing at 3% a year, and the unemployment rate has dropped to 5.4%. Mortgage approvals have risen to over 70,000 a month and annual house price growth is around 3.5%. These factors have boosted consumer confidence, helping to underpin retail spending and hence GDP growth, which was an encouraging 2.3% a year in the third quarter of 2015. Although speeches by the Bank of England's Monetary Policy Committee (MPC) members sent signals that some were willing to countenance higher interest rates, the MPC held policy rates at 0.5% for the 81st consecutive month at its meeting in November 2015. Quantitative easing (QE) has been maintained at £375bn since July 2012. Probably need to refer to weaken data towards the end of the year and forecast GDP growth cuts by OBR and others also the recent CIPD reduced wage growth estimates.

In international markets China's growth has slowed and its economy is performing below expectations, reducing global demand for commodities and contributing to emerging market weakness. US domestic growth has accelerated but the globally sensitive sectors of the US economy have slowed. Strong US labour market data and other economic indicators however suggest recent global turbulence has not knocked the American recovery off course. The Federal Reserve did not raise policy rates at its meetings in October and November, but the statements accompanying the policy decisions point have made a rate hike in December 2015 a real possibility. In contrast, the European Central Bank finally embarked on QE in 2015 to counter the perils of deflation.

The outcome of the 2015 UK general election, which was largely fought over the parties' approach to dealing with the deficit in the public finances, saw some big shifts

in the political landscape and put the key issue of the UK's relationship with the EU at the heart of future politics. Uncertainty over the outcome of the forthcoming referendum could put downward pressure on UK GDP growth and interest rates.

The varying fortunes of different parts of the global economy are reflected in market indicators of credit risk. UK Banks operating in the Far East and parts of mainland Europe have seen their perceived risk increase, while those with a more domestic focus continue to show improvement. The sale of most of the government's stake in Lloyds and the first sale of its shares in RBS have generally been seen as credit positive.

Legislative Context

Bail-in legislation, which ensures that large investors including local authorities will rescue failing banks instead of taxpayers in the future, has now been fully implemented in the UK, USA and Germany. The rest of the European Union will follow suit in January 2016, while Australia, Canada and Switzerland are well advanced with their own plans. Meanwhile, changes to the UK Financial Services Compensation Scheme and similar European schemes in July 2015 mean that most private sector investors are now partially or fully exempt from contributing to a bail-in.

3.2 The Current Structure of the Portfolio

The Council's treasury portfolio (net of transferred debt) as at 31st December 2016 was as follows.

	Principal Amount £m	Current Interest Rate %
Call accounts	20.39	0.25
Local Authority Deposits	56.50	1.63
Gilts & Other Core Bonds	366.03	1.74
Floating Rate Notes (short term liquidity)	226.56	0.91
Total Investments	669.48	1.97
Short-term loans	472.90	0.66
Long-term loans (Local Authorities)	167.50	1.53
Shared Investment Scheme*	68.39	0.65
Long-term PWLB loans	338.85	3.07
Long-term market loans (LOBOs)	51.78	5.23
Total Borrowing	1,099.42	1.75
Net Borrowing	469.88	

* Please refer to the Glossary in Appendix C for further information.

3.3 Prospects for Interest Rates and Market Liquidity

In planning the treasury management strategy, the Council will consider the prevailing and forecast interest rate situation. Regular forecasts of interest rates are provided by Arlingclose Ltd, treasury management advisers to the County Council. The Chief Investment Officer for the Council also provides a view on interest rate forecasts based on current and future market data.

Arlingclose Ltd projects the first 0.25% increase in UK Bank Rate for the third quarter of 2016, rising by 0.5% a year thereafter, finally settling between 2% and 3% in several years' time. Persistently low inflation, subdued global growth and potential concerns over the UK's position in Europe mean that the risks to this forecast are weighted towards the downside.

A shallow upward path for medium term gilt yields is forecast, as continuing concerns about the Eurozone, emerging markets and other geo-political events weigh on risk appetite, while inflation expectations remain subdued. Arlingclose projects the 10 year gilt yield to rise from its current 2.0% level by around 0.3% a year. The uncertainties surrounding the timing of UK and US interest rate rises are likely to prompt short-term volatility in gilt yields.

	Dec-15	Mar-16	Jun-16	Sep-16	Dec-16	Mar-17	Jun-17	Sep-17	Dec-17	Mar-18	Jun-18	Sep-18	Dec-18
Official Bank Rate													
Upside risk		0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.50	0.50	0.50	0.50
Arlingclose Central Case	0.50	0.50	0.50	0.75	0.75	1.00	1.00	1.25	1.25	1.50	1.50	1.75	1.75
Downside risk				-0.25	-0.25	-0.50	-0.50	-0.75	-0.75	-1.00	-1.00	-1.25	-1.25
3-month LIBID rate													
Upside risk	0.20	0.30	0.30	0.30	0.35	0.35	0.35	0.35	0.40	0.40	0.40	0.40	0.40
Arlingclose Central Case	0.55	0.60	0.70	0.80	0.95	1.05	1.15	1.30	1.40	1.55	1.65	1.80	1.85
Downside risk		-0.20	-0.30	-0.45	-0.55	-0.65	-0.80	-0.90	-1.05	-1.10	-1.20	-1.20	-1.20
1-yr LIBID rate													
Upside risk	0.25	0.35	0.35	0.35	0.40	0.40	0.40	0.40	0.45	0.45	0.45	0.45	0.45
Arlingclose Central Case	1.10	1.20	1.35	1.45	1.55	1.70	1.80	1.95	2.00	2.10	2.15	2.15	2.15
Downside risk	-0.15	-0.25	-0.35	-0.50	-0.60	-0.70	-0.85	-0.95	-1.10	-1.15	-1.25	-1.25	-1.25
5-yr gilt yield													
Upside risk	0.40	0.50	0.50	0.50	0.55	0.55	0.55	0.55	0.60	0.60	0.60	0.60	0.60
Arlingclose Central Case	1.50	1.55	1.60	1.70	1.80	1.90	2.00	2.10	2.20	2.25	2.30	2.35	2.35
Downside risk	-0.35	-0.45	-0.55	-0.60	-0.70	-0.80	-0.90	-1.00	-1.10	-1.15	-1.20	-1.25	-1.25
10-yr gilt yield													
Upside risk	0.40	0.50	0.50	0.50	0.55	0.55	0.55	0.55	0.60	0.60	0.60	0.60	0.60
Arlingclose Central Case	2.00	2.05	2.10	2.20	2.30	2.40	2.50	2.60	2.65	2.70	2.75	2.80	2.80
Downside risk	-0.35	-0.45	-0.55	-0.60	-0.70	-0.80	-0.90	-1.00	-1.10	-1.15	-1.20	-1.25	-1.25
20-yr gilt yield													
Upside risk	0.40	0.50	0.50	0.50	0.55	0.55	0.55	0.55	0.60	0.60	0.60	0.60	0.60
Arlingclose Central Case	2.45	2.50	2.55	2.55	2.60	2.65	2.70	2.75	2.80	2.85	2.90	2.95	2.95
Downside risk	-0.30	-0.40	-0.50	-0.55	-0.65	-0.75	-0.85	-0.95	-1.05	-1.10	-1.15	-1.20	-1.20
50-yr gilt yield													
Upside risk	0.40	0.50	0.50	0.50	0.55	0.55	0.55	0.55	0.60	0.60	0.60	0.60	0.60
Arlingclose Central Case	2.45	2.50	2.55	2.60	2.65	2.70	2.75	2.80	2.85	2.90	2.95	3.00	3.00
Downside risk	-0.25	-0.35	-0.45	-0.50	-0.60	-0.70	-0.80	-0.90	-1.00	-1.05	-1.10	-1.15	-1.15

In addition uncertainty surrounding the in/out EU referendum is likely to prove a drag on growth during 2016 with the threat of large market risks involved in any Brexit resulting in slower/negative growth, currency weakness and therefore further rate suppression.

Arlingclose have based this forecast on the following underlying assumptions:

- UK economic growth softened in Q3 2015 but remained reasonably robust; the first estimate for the quarter was 0.5% and year-on-year growth fell slightly to 2.3%. Construction falls were offset by fairly strong services output although survey estimates suggest upwards revisions to construction may be in the pipeline.
- Household spending has been the main driver of GDP growth through 2014 and 2015 and remains key to growth. Consumption will continue to be supported by real wage and disposable income growth.
- Annual average earnings growth was 3.0% in the three months to August. Given low inflation, real earnings and income growth continue to run at relatively strong levels and could feed directly into unit labour costs and households' disposable income. Improving productivity growth should support pay growth in the medium term. The development of wage growth is one of the factors being closely monitored by the MPC.
- Business investment indicators continue to signal strong growth. However the outlook for business investment may be tempered by the looming EU referendum, increasing uncertainties surrounding global growth and recent financial market shocks.
- Inflation is currently very low and, with a further fall in commodity prices, will likely remain so over the next 12 months. The CPI rate is likely to rise towards the end of 2016. If there are no further oil and commodity price declines
- China's growth has slowed and its economy is performing below expectations, which in turn will dampen activity in countries with which it has close economic ties; its slowdown and emerging market weakness will reduce demand for commodities. Other possible currency interventions following China's recent devaluation will keep sterling strong against many global currencies and depress imported inflation.
- Strong US labour market data and other economic indicators suggest recent global turbulence has not knocked the American recovery off course. Although the timing of the first rise in official interest rates remains uncertain, a rate rise by the Federal Reserve seems significantly more likely in December given recent data and rhetoric by committee members. Obviously now known to be Dec but with a very dovish statement and slower than expected upward path
- Longer term rates will be tempered by international uncertainties and weaker global inflation pressure.

These factors will maintain the current direction of the MPC in the medium term.

3.5 Impact of these factors on the Borrowing Strategy

In view of the above assessment of the economic context within which the Council is operating, wherein despite the continuing improvement in the economic outlook, it could be 2017 before there is a rise in official UK interest rates, and the UK's safe haven status and minimal prospect of rate rises are expected to keep gilt yields in check through the near term, there is likely to be no significant change in the County Council's overall borrowing strategy in the current year.

The Council's chief objective when borrowing money is to strike an appropriate balance between securing low interest costs and achieving cost certainty over the period for which funds are required. The flexibility to renegotiate loans should the Council's long-term plans change is a secondary objective.

Given the significant cuts to public expenditure and in particular to local government funding, the Council's borrowing strategy continues to address the key issue of affordability without compromising the longer-term stability of the debt portfolio. With short-term interest rates currently much lower than long-term rates, it is likely to be more cost effective in the short-term to continue to borrow short-term whilst taking advantage of the new Municipal Bond Agency facility for some longer term borrowing. By doing so, the council is able to keep net borrowing costs at very low levels, reduce overall treasury risk and still respond to the transformation agenda in reducing the overall size of the balance sheet.

The benefits of short term and internal borrowing are monitored regularly against the potential for incurring additional costs by deferring borrowing into future years when long-term borrowing rates are forecast to rise. Arlingclose will assist the council with this 'cost of carry' and breakeven analysis. Its output may determine whether the council borrows additional sums at long-term fixed rates in 2016/17 with a view to keeping future interest costs low, even if this causes additional cost in the short-term.

Also, if it became apparent that there was a significant risk of a much sharper rise in long and short term rates than that currently forecast, perhaps arising from a greater than expected increase in world economic activity or a sudden increase in inflation risks, then the portfolio position will be re-appraised with the possible action that significant fixed rate funding will be drawn whilst interest rates were still relatively cheap.

Whilst it is expected that the current low rate environment will continue for a further period, the Council have taken steps to ensure that the Council is protected from the impact of rate rises when they do occur. In support of this strategy full council have approved in principle the following actions:

- the establishment of a Lancashire County Council Euro Medium Term Note (EMTN) programme to facilitate access to secure long term debt in readiness for interest rate rises
- Preparations for borrowing through the Municipal Bond Agency to enable access to an alternative economic funding source.

The necessary changes to the Council's Prudential Indicators to facilitate the switch from a programme of rolling short term debt to longer term debt financing.

3.6 Impact of these factors on the Investment Strategy

In view of the above assessment of the economic context within which the Council is operating the County Council's investment strategy will be based upon the following information:

- The Bail-in legislation described above, which ensures that in future large investors including local authorities will rescue failing banks instead of taxpayers. In particular the additional legal protections afforded to private sector investors means that the credit risk associated with making unsecured bank deposits has increased dramatically relative to the risk of other investment options available to the Authority whilst returns from cash deposits remain stubbornly low.
- Given the level of risk involved in dealing with bank counterparties the County Council will continue to diversify its portfolio further away from bank credit while maintaining the highest credit quality of counterparties. Unsecured term deposits or certificates of deposit with banks are no longer an appropriate investment instrument for the County Council.
- The Investment Strategy will also react to the planned use of reserves as outlined in the County Council's revenue budget.

4. Borrowing Strategy

4.1 The Level of the Approved Capital Programme – the Borrowing Requirement

The county council's estimated borrowing requirement for financing the capital programme in the current and the next three years is as follows:

	2015/16 Revised £m	2016/17 £m	2017/18 £m	2018/19 £m
Capital Programme Expenditure	250.521	103.805	77.024	49.621
<i>Financed by:</i>				
Capital Receipts	21.297	1.036		0.000
Grants and Contributions	143.350	54.540	58.974	39.143
Revenue Contributions	24.869	4.000	4.500	0.000

Borrowing	61.005	44.229	13.550	10.478
<i>Add Maturing Debt to be replaced:</i>				
Long Term PWLB	0.000	0.000	0.000	0.000
Long term fixed Borrowing	0.000	100.000	100.000	100.000
Short Term Market Borrowing	579.950	479.950	479.950	479.950
Less Transferred Debt	1.899	1.687	1.629	1.629
Less Statutory Charge to Revenue	19.967	20.749	20.877	21.537
Total Borrowing Requirement	619.089	601.743	570.994	567.262

At 31st March 2015 the County Council held £1.036bn of short and long-term loans as part of its strategy for funding previous years' capital programmes. The County Council's borrowing requirement as at 31st March 2016 including short term renewals is expected to be £549.11million, and is forecast to rise to £614.24million by March 2017 as capital expenditure is incurred. In addition, the County Council may borrow for short periods of time to cover unexpected cash flow shortages.

The County Council's borrowing position over the coming years includes the need to provide cash flow support for the Preston, South Ribble and Lancashire City Deal to cover the gap between the construction of infrastructure and the payment over of contributions from other organisations including the Government and developers. It is estimated that some £28m of borrowing will be required in 2016/17. This borrowing is temporary.

Therefore the total borrowing requirement in 2016/17 is £647m, largely as a result of needing to refinance maturing short term borrowing. There are a range of options available for the borrowing strategy in 2016/17.

- Variable rate borrowing is expected to be cheaper than fixed rate long term borrowing and will be attractive during the financial year, particularly as variable rates are closely linked to bank rates.
- Under 10 years rates are expected to be substantially lower than long term rates, so this opens up a range of choices that may allow the County Council to spread maturities away from concentration on long dated debt.
- Although it is not felt best pricing can be achieved at the present time through issuance under the County Council's euro medium term note programme (EMTN), a commercial paper issue which has a much shorter maturity, typically 270 days, may be appropriate.
- Approval is also being considered to add the LGA's Municipal Bond Agency to the County Council's list of approved borrowing counterparties

Against this background, the section 151 officer will, in conjunction with the County Council's advisors, monitor the interest rate situation closely and will adopt a pragmatic approach to delivering the objectives of this strategy within changing economic circumstances. Arlingclose forecast the first rise in official interest rates in Q3 2016 and careful monitoring will ensure that borrowing is taken at the most appropriate time. The table above reflects this forecasted rise and the fixing of £100m of the short term debt in 2016/17.

All decisions on whether to undertake new or replacement borrowing to support previous or future capital investment will be subject to evaluation against the following criteria:

- a) Overall need, whether a borrowing requirement to fund the capital programme or previous capital investment exists;
- b) Timing, when such a borrowing requirement might exist given the overall strategy for financing capital investment, and previous capital spending performance;
- c) Market conditions, to ensure borrowing that does need to be undertaken is achieved at minimum cost, including a comparison between internal and externally financed borrowing.
- d) Scale, to ensure borrowing is undertaken on a scale commensurate with the agreed financing route.

All long term decisions will be documented reflecting the assessment of these criteria.

The table below is an estimate of the relationship between the borrowing capital financing requirement and total borrowing during the current year and over the next three years. The shared investment scheme is assumed to contribute £120m to the borrowing total. The operation of the scheme is reviewed annually, but this table assumes it will operate for the next three years and shows the position if take-up reaches the limits of the scheme.

	31 Mar 2016 £m	31 Mar 2017 £m	31 Mar 2018 £m	31 Mar 2019 £m
Capital Financing Requirement	1,043	1,061	1,046	1035
Less PFI liability	172	168	164	160
Borrowing CFR	871	893	882	875
Loans Borrowed (31March estimate)	1,039	1,058	1,044	1,031
Borrowing Above CFR	168	165	162	156
<i>Comprising:</i> Premiums	48	45	42	36

Shared Investment Scheme	120	120	120	120
Total	168	165	162	156

4.2 Sources of borrowing

The approved sources of long-term and short-term borrowing will be:

- Public Works Loan Board
- LGA Municipal Bond Agency (subject to approval of a separate report by cabinet)
- Special purpose companies created to enable joint local authority bond issues, using the format of a euro medium term note programme or a commercial paper programme
- UK Local Authorities
- any institution approved for investments including high quality supranational banks such as the European Central Bank
- UK public and private sector pension funds
- any other financial institution approved by the Prudential Regulation Authority
- capital market bond investors either over the counter or through electronic trading platforms

4.3 UK Municipal Bond Agency PLC

The Municipal Bond Agency was established by the Local Government Association in June 2014 with the primary objective of setting up an alternative capital funding source for the local government sector and reducing UK local authority financing costs by becoming the most efficient and cost effective provider of finance. The Cabinet agreed on 15th July 2014 to invest £250,000 to become a shareholder in the company which should lead to preferential dealing charges and eventually dividends from the MBA when it is in full operation. County Council are one of 56 local authority shareholders, the 57th is the LGA who are the founder shareholder.

It is expected that the MBA will make the first tranche of borrowing available to local authorities in 2016. In order to borrow from the MBA the County Council is required to sign a joint and several guarantee contained within a framework agreement.

Signing off the framework agreement and borrowing from the MBA is the subject of a separate report to cabinet.

4.4 Borrowing Instruments

The County Council may only borrow money by use of the following instruments:

- bank overdrafts
- fixed term loans

- callable loans or revolving credit facilities where the county council may repay at any time (with or without notice)
- callable loans where the lender may repay at any time, but subject to a maximum of £150 million in total
- lender's option borrower's option (LOBO) loans, but subject to a maximum of £100 million in total
- bonds, notes, bills, commercial paper and other marketable instruments
- sale and repurchase (repo) agreements

Loans may be borrowed at either a fixed rate of interest, or at a variable rate linked to a market interest rate, such as LIBOR, subject to the limits on interest rate risk approved each year in the *Treasury Management Strategy*.

4.5 Debt Restructuring

The County Council continuously monitors both its debt portfolio and market conditions to evaluate potential savings from debt restructuring.

5. Policy on Borrowing in Advance of Need

The County Council will not borrow more than or in advance of need with the objective of profiting from the investment of the additional sums borrowed.

However, borrowing in advance of need is appropriate in the following circumstances:

- a) Where there is a defined need to finance future capital investment that will materialise in a defined timescale of 2 years or less; and
- b) Where the most advantageous method of raising capital finance requires the County Council to raise funds in a quantity greater than would be required in any one year, or
- c) Where in the view of the section 151 officer, based on external advice, the achievement of value for money would be prejudiced by delaying borrowing beyond the 2 year horizon.

Having satisfied any of these criteria any proposal to borrow in advance of need would also need to be reviewed against the following factors:

- a) Whether the ongoing revenue liabilities created, and the implications for the future plans and budgets have been considered and reflected in those plans and budgets, and the value for money of the proposal has been fully evaluated.
- b) The merits and demerits of alternative forms of funding.
- c) The alternative interest rate bases available, the most appropriate periods over which to fund and repayment profiles to use.

All decisions will be documented reflecting the assessment of these circumstances and criteria.

6. Investment Strategy

In making any investments of the reserves and other cash items held within its balance sheet the County Council must have regard to the relevant regulations under the Local Government Act 2003, the CLG Guidance on Local Government Investments, and the latest revision of the CIPFA Treasury Management in Public Services Code of Practice (2011) and other relevant publications such as 'Treasury Risk Toolkit for Local Authorities' (2012) and 'Using Financial Instruments to Manage Risk' (2013.)

However it is the opinion of LCC treasury management, along with treasury advisors Arlingclose Ltd, that the CIPFA TM Code of Practice should be revised to properly categorise the risk to local authorities of investing using unsecured term bank deposits and remove the emphasis the code places on them as a low risk specified investment instruments.

The CIPFA TM Panel has requested from CLG consideration of this issue with regard to investment regulation and CLG have agreed to give the issue consideration.

The council's investment priorities are: -

- (a) The security of capital, and
- (b) The liquidity of its investments.

The County Council will also aim to achieve the optimum return on its investments commensurate with proper levels of security and liquidity. The risk appetite of the County Council is low in order to give priority to security of its investments.

The counterparty credit matrix is at the heart of Lancashire County Council's Treasury Management Policy and Strategy and has always been conservatively constructed to protect the County Council against credit risk whilst allowing for efficient and prudent investment activity.

However, the County Council does not rely solely on credit ratings in assessing counterparties. Other market information is also monitored such as information from the credit default swap (CDS) market and any press releases in general, thus ensuring the Council transacts with only the highest quality counter-parties.

The Council requires very high credit ratings for an organisation to be considered a suitable counterparty for investment purposes. Despite a number of downgrades within the financial sector the County Council has not reduced the credit ratings required of its counterparties, but has maintained the existing very high ratings required for short, medium and long term investments. These are set out below:

- **For short term lending of up to 1 year** - that the short term ratings from the ratings agencies be used and that a counter-party must have a minimum of the following:

Moody's.	P1
S&P	A1
Fitch.	F1

Short term ratings were specifically created by the agencies for money market investors as they reflect specifically the liquidity positions of the institutions concerned.

- **For medium term investments** in the form of tradeable bonds or certificates of deposit (1yr to 5yrs, where immediate liquidation can be demonstrated), a blended average of the ratings will be taken (averaging across all available ratings) , with a minimum of:
 - Long term AA3/AA-, and
 - Short term P1/F1+/A1+

- **For longer term investments (5yrs and above)** in the form of tradeable bonds where immediate liquidation can be demonstrated, a blended average of the ratings will be taken, with a minimum of:
 - Long term AA2/AA
 - Short term P1/A1+/F1+

The detailed calculation methodology of the blended average will be agreed with the council's advisers and set out in the treasury management practices document.

The limits for scale and duration of investment in specific categories which form the 2016/17 investment strategy are set out in the table below.

If the counterparty of an existing investment falls outside the policy due to a change in credit rating, full consideration will be made, taking into account all relevant information, as to whether a premature settlement of the investment should be negotiated.

The minimum sovereign rating for investment is AA-.

The table below shows the approved investment Counterparties and Limits

Instrument	Minimum Credit Rating (blended average)	Maximum individual Investment (£m)	Maximum total Investment (£m)	Maximum Period
UK Government Gilts, Treasury Bills & bodies guaranteed by UK Govt	UK Government	500	unlimited	50 yrs
Sterling Supranational Bonds & Sterling Sovereign Bonds	AA-	150	500	50 yrs
Corporate Bonds (Short Term less than 1yr to maturity)	P1/A1/F1	40	200	1yr

Instrument	Minimum Credit Rating (blended average)	Maximum individual Investment (£m)	Maximum total Investment (£m)	Maximum Period
Corporate Bonds (Medium term up to 5 years)	AA- P1/A1/F1	100	500	5yrs
Corporate Bonds (Long term)	AA P1/A1+/F1+	50	250	50yrs
Government Bond Repurchase Agreements (Repo/ Reverse Repo)	UK Government AA	500	750	1yr
Repurchase Agreements (Repo/ Reverse Repo)	Other AA+	200	200	1yr
Bond Funds with weighted average maturity maximum 3 yrs	AA Rated weighted average maturity 3yrs	100	250	These investments do not have a defined maturity date.
Bond Funds with weighted average maturity maximum 5 yrs	AAA Rated	100	250	These investments do not have a defined maturity date.
UK Local Authorities (incl Transport for London)	Implied Government support	100	500	50yrs
Collateralised lending agreements backed by higher quality government or local government and supra national sterling securities.	AA- with cash or AA- for any collateral	250	500	25yrs

Instrument	Minimum Credit Rating (blended average)	Maximum individual Investment (£m)	Maximum total Investment (£m)	Maximum Period
Call accounts with UK and Overseas Banks (domiciled in UK)	P1/A1/F1 Long term A Government support	100	100	Overnight in line with clearing system guarantee (currently 4 years.)

The County Council's day to day transactional bank National Westminster lies outside the investment credit matrix but emergency overnight deposits may be placed with them from time to time. In practice they are minimised on a daily basis to typically below £1million.

6.1 Types of Investment

The CLG Guidance defines two types of investment, firstly specified investments which are those:

- denominated in pound sterling,
- due to be repaid within 12 months of the arrangement,
- not defined as capital expenditure by legislation, and
- invested with one of:
 - the UK Government,
 - a UK local authority, parish council or community council, or
 - a body or investment scheme of "high credit quality".

Any investment not meeting the definition of a specified investment is classed as non-specified. The County Council will not make any investments with low credit quality bodies, nor any that are defined as capital expenditure by legislation, such as company shares.

The operational total limit on long-term investments is £600 million. This reflects the portfolio structure adopted by the County Council in order to reduce credit risk and ensure liquidity.

Core investments are held in government and supranational securities, which although highly liquid have maturities in excess of 364 days. In addition the County Council holds a secondary liquidity investment book of very high quality covered floating rate notes (FRNs) which are typically issued for a 3 to 5 year term. Because these instruments have their rates re-fixed, at current market rates every 3 months, their price shows a very low sensitivity to changes in market rates, so that although under the current accounting regulations they are classified as long term instruments, in practice they operate as fixed instruments with a maximum of 3 months to maturity and can be liquidated with one or two day notice. Therefore the 'long term investments' total contains instruments which operate with a short term horizon and which are central to achieving the County Council's security and liquidity objectives.

In recent times, a wider range of investment instruments within the area of sterling deposits has been developed by financial institutions. All of these afford similar security of capital to basic sterling deposits but they also offer the possibility, although never of course the certainty, of increased returns. The section 151 officer will, in liaison with the county council's external advisers, consider the benefits and drawbacks of these instruments and whether any of them are appropriate for the County Council. Because of their relative complexity compared to straightforward term deposits, most of them would fall within the definition of non-specified investments. Decisions on whether to utilise such instruments will be taken after an assessment of whether their use achieves the Council's objectives in terms of reduction in overall risk exposure as part of a balanced portfolio.

7. Policy on Use of Financial Derivatives

The County Council will only use financial derivatives (such as swaps, forwards, futures and options) on a standalone basis, where it can be clearly demonstrated that as part of the prudent management of the Council's financial affairs the use of financial derivatives will have the effect of reducing the level of financial risks that the County Council is exposed to. Additional risks presented, such as credit exposure to derivative counterparties, will be taken into account when determining the overall level of risk.

Many embedded derivatives are already used by local authorities across England and Wales including Lancashire County Council, although unlike the government, commercial sector and other public service areas stand-alone derivatives have not generally been used.

A derivative is a financial instrument with three main features:

- The value changes in response to an underlying variable.
- The transaction requires no initial investment, or an initial net investment smaller than would be required for other types of contract with a similar expected response to market changes.
- The contract is settled at a predetermined future date.

The underlying variable represents an existing external risk for which the hedge is required. Examples are a specified interest rate, a commodity price, a credit rating, a foreign exchange rate or any other variable, however as the County Council treasury activity is not directly exposed to all of these risks, for example foreign exchange or commodity prices, the County Council's use of derivatives will be restricted to the management and hedging of interest and inflation rate risk only.

The embedded and standalone derivatives which can be used by the County Council to manage interest rate risk are summarised below:

CLASS	USE	STANDALONE	EMBEDED
Forwards	To fix an interest or inflation rate for a single period in the future.	Forward Rate Agreement (FRA), gilt lock, interest rate or gilt futures	Forward Deal
Swaps	To exchange interest or inflation rate exposures (eg. fixed to floating)	Interest or inflation rate swap (IRS), Basis swap.	Variable rate deposit, Floating rate note.
Purchased Options	The right but no obligation to fix an interest or inflation rate in exchange for paying a premium.	Caps, floors, collars, swaptions, puts, calls	Callable loan Collared deposit

The Council will not sell interest rate or inflation rate options, (i.e. give another party the right to fix a rate) since these cannot reduce the Council's risk. The only exception is where a sold option is combined with a purchased option of equal or higher premium to create a collar.

There are two methods of engaging in derivative contracts, exchange traded or settled derivatives and over the counter (OTC) derivatives. The former are available in public markets and trade over a physical exchange with a clearing house acting as an intermediary and include futures and options. OTC contracts are privately negotiated and traded between two counterparties and can include swaps and forwards. Mention that there is regulation in train to make most derivatives exchange settled.

In a derivative contract both parties are often required to provide collateral (i.e. pools of valuable and liquid assets set aside specifically to back liabilities arising from the contract) to reduce credit risk. The method of assessing counterparty quality and suitability of collateral within the structure of the contracts is shown below:

PRODUCT	COUNTERPARTY QUALITY	SECURITY	
Exchange traded or cleared product	Credit rating of exchange	Credit rating of Clearing agent	Margin netting
Bilateral FRAs and swaps assuming netting	Credit rating of counterparty	Full 2-way collateral arrangements	Types of collateral agreed and any haircuts
OTC Options	Credit rating of counterparty	Agreed full 2-way collateral	Types of collateral and haircuts
Intra LA swaps etc	Assumed Credit rating	2-way collateral (cash)	No haircut

The credit quality of the collateral acceptable to the County Council will be determined by the credit rating of the counterparty or exchange, along with credit default swap prices which react much quicker than credit rating agencies and can be used as early indicators of credit or liquidity problems.

The table below defines the appropriate limits for collateral quality:

Counterparty type	Documentation	Collateral types	CDS levels	Rating
Exchange	MIFCA	Cash margins	<75bp	AA
Banks	ISDA/CSA	Cash and Govt bonds	<100bp	A3
Insurers and Pension Funds	ISDA CSA	Cash, Govt Bonds	<100 (Insurers)	A3 (Insurers)
LAs	Contract	Cash, Govt Bonds	England/Wales None	England and Wales None

The County Council will only use derivative contracts to hedge existing risks. This is reflected in the limits below which in future will form a local indicator as part of the Prudential Indicators agreed by the County Council within the annual Treasury Management Strategy. These are shown in the table below, the 100% upper limit means that the County Council has the option to hedge all of, but not more than, its interest rate risk if felt appropriate.

Exposure Metric	Min Hedge	Max Hedge	Granularity	Tool
Interest rate	0%	100%	0-3 months 3-6months, 6-12m months, 1 to 2 years, 2-5 years and 5 year blocks	FRA, Futures, Options, Swaps Swaption
Inflation rate	0%	100%	1 block	Swap, Swaption, Option

In addition hedge accounting will be used to periodically test the effectiveness of the hedge. It is expected the hedge will work with between 80% and 125% effectiveness in accordance with International Accounting Standards. If the effectiveness is measured as falling outside these parameters, the structure of the hedge be changed in response.

The calculation method of interest rate risk to be hedged and hedge effectiveness will be set out in the Treasury Management Practices document.

At all times the County Council will comply with CIPFA advice and guidance on the use of financial derivatives and have regard to CIPFA publications on risk management. Part of that advice was that the County Council should seek its own legal advice as to the legality of the use of derivatives for risk management purposes.

8. Performance Measurement

With base rates at exceptionally low levels, investment returns are likely to continue to be far lower than has been the case in recent years. However, in the knowledge that a portion of cash invested will not be required in the short term; and to protect against continued low investment rates; investments may be made for longer time periods, depending on cash flow considerations and the prevailing market conditions. The performance target on investments is a return above the average rate for 7 day notice money.

9. Impact on the County Council's Revenue Budget

The table below outlines the budget for the financing charges element of the Council's revenue budget. This reflects the proposed changes to the Minimum Revenue Provision calculation which has been reflected in the Medium Term Financial Strategy. The authority is required by statute to make a prudent charge giving consideration to guidance issued by the Government department. Full Council is required to review and approve its MRP policy annually. The proposed changes to the policy are charging debt incurred prior to 2007/8 on a 50 year straight line basis rather than a 4% reducing balance and the use of an annuity calculation for debt incurred later than this date. A revised MRP policy is set out in Appendix C.

	Revenue Budget 2015/16 £m	Revenue Budget 2016/17 £m	Revenue Budget 2017/18 £m	Revenue Budget 2018/19 £m
Minimum Revenue Provision (MRP)	37.085	19.967	20.749	20.877
Interest Paid	22.308	24.036	27.883	29.312
Interest Earned	-12.710	-10.420	-10.524	-10.733
Grants Received	-0.280	-0.260	-0.240	-0.240
Total	46.403	33.323	37.868	39.216

The revenue budget above reflects a position which takes account of the views of both internal and external advisors, particularly in relation to interest rate movements and the potential timing to move from short term variable rates to fixed rates.

The position will be closely monitored by the S151 officer and any changes to the external view will be reflected in a revised Finance Charges forecast and taken to Cabinet.

Annex A

PRUDENTIAL INDICATORS

In line with the relevant legislation the county council has adopted the Prudential Code for Capital Finance in Local Authorities and the CIPFA Treasury Management in the Public Services Code of Practice as setting the framework of principles for its Treasury Management activities. In accordance with the requirements of these codes the County council produces each year a set of prudential indicators which assist in the process of monitoring the degree of prudence with which the county council undertakes its Capital Expenditure and Treasury Management activities. Certain of these indicators also provide specific limits with regard to certain types of activity such as borrowing. These indicators are a consequence of the borrowing requirements and actions set out within the body of the Treasury Management Strategy.

Adoption of CIPFA Treasury Management Code of Practice (2011)

2015/16 2016/17 2017/18 2018/19
Adopted for all years

Indicators on Capital Expenditure and Financing

The total capital expenditure in each year, irrespective of the method of financing estimated to be incurred by the County council is as follows:

2014/15	2015/16	2016/17	2017/18	2018/19
Actual	Estimate	Estimate	Estimate	Estimate
£m	£m	£m	£m	£m
178.016	250.521	103.805	77.024	49.621

The estimated capital expenditure stated above will be financed by a mixture of borrowing, capital receipts, revenue contributions, grants and other contributions. A key control of the prudential system is the underlying need to borrow for capital purposes, which is represented by the cumulative effect of past borrowing decisions and future plans. This is shown as the capital financing requirement. This is not the same as the actual borrowing on any one day, as day to day borrowing requirements incorporate the effect of cash flow movements relating to both capital and revenue expenditure and income. The estimate of the capital financing requirement for each year is as follows, and includes the impact of PFI obligations.

2014/15	2015/16	2016/17	2017/18	2018/19
Actual	Estimate	Estimate	Estimate	Estimate
£m	£m	£m	£m	£m
1,022.485	1,043.945	1,068.207	1,061.008	1,050.609

Prudence and Affordability

CIPFA's Prudential Code for Capital Finance in Local Authorities states the following as a key indicator of prudence:

"In order to ensure that, over the medium term, net borrowing will only be used for a capital purpose, the local authority should ensure that net external borrowing does not, except in the short term, exceed the total of capital financing requirement in the preceding year, plus the estimates of any additional capital financing requirement for the current and next two financial years."

The county council's financial plans are prepared on this basis and, indeed the policy on borrowing in advance of need explicitly references this statement as part of the decision making criteria.

It is important to ensure that the plans for capital expenditure and borrowing are affordable in the long term. To this purpose the code requires an indicator which estimates the ratio of financing costs to the net revenue stream.

The financing costs are the interest payable on borrowing, finance lease or other long term liabilities and the amount defined by statute which needs to be charged to revenue to reflect the repayment of the principal element of the county council's borrowing. Any additional payments in excess of the statutory amount or the cost of early repayment or rescheduling of debt would be included within the financing cost. Financing costs are expressed net of investment income.

The net revenue stream is defined as the amount required to be funded from Government Grants and local taxpayers, in effect the budget requirement.

Estimates of the ratio of financing costs to net revenue (or budget requirement) are as follows:

2015/16	2016/17	2017/18	2018/19
Estimate	Estimate	Estimate	Estimate
%	%	%	%
3.22	4.69	5.50	5.76

The Capital Programme is still being considered by the County Council and is not yet finalised. The indicators have been calculated on the assumption that any new starts will be funded from either grants or revenue resources. Including the cost of financing the borrowing already included in the Programme to meet current commitments it is estimated that the Council Tax impact of the whole Programme will be:

2016/17	2017/18	2018/19
Estimate	Estimate	Estimate
£	£	£
17.12	20.08	6.26

It is important to note that the figures do not represent annual increases in Council Tax. Both the 2014/15 and 2015/16 figures will include the full year effects of decisions taken in 2013/14. Similarly, all three years include the effect of financing capital expenditure from revenue or internal loans. Provision for these already exists within the revenue budget. The Prudential Code requires the estimated revenue impact of capital investment decisions in Band D Council Tax terms to be calculated. The estimated effect in Band D Council Tax terms of the net cost of the borrowing is:

	£
2015/16	5.48
2016/17	7.01
2017/18	6.26

External Debt

The county council is required to approve an “authorised limit” and an “operational boundary” for external debt. The limits proposed are consistent with the proposals for capital investment and with the approved treasury management policy statement and practices. The limits also include provision for the £150m cap on the shared investment scheme. The indicators are split between borrowing and other long term liabilities, such as PFI projects. It is, therefore, proposed to set a limit for the section 151 to work within.

The authorised limit is a prudent estimate of external debt, but allows sufficient headroom for unusual cash flow movements. After taking into account the capital plans and estimates of cash flow and its risks, the proposed authorised limits for external debt are:

	2015/16 Revised	2016/17	2017/18	2018/19
	£m	£m	£m	£m
Borrowing	1,200	1,250	1,250	1,250
Other long term liabilities	200	200	200	200
TOTAL	1,400	1,450	1,450	1,450

The proposed operational boundary for external debt is based on the same estimates as the authorised limit. However, although it reflects a prudent estimate of debt, there is no provision for unusual cash flow movements. In effect, it represents the estimated maximum external debt arising as a consequence of the county council's current plans. As required under the Code, this limit will be carefully monitored during the year. The proposed operational boundary for external debt is:

	2015/16 Revised	2016/17	2017/18	2018/19
	£m	£m	£m	£m
Borrowing	1,120	1,190	1,180	1,160
Other long term liabilities	180	180	180	180
TOTAL	1,300	1,370	1,360	1,340

The debt figures include transferred debt which is managed by the County Council on behalf of other authorities. The transferred debt included within the debt indicators is estimated at the end of each year to be:

2015/16	£36.970 m
2016/17	£35.283 m
2017/18	£33.654m
2018/19	£32.080m

Gross Debt and Capital Financing Requirement

As a measure of prudence and to ensure that over the medium term debt is only used for a capital purpose, the prudential code requires a comparison of gross debt and the capital financing requirement. The comparison for the County Council is shown below:

	31 Mar 2016 £m	31 Mar 2017 £m	31 Mar 2018 £m	31 Mar 2019 £m
Borrowing CFR	871	893	882	875
Loans Borrowed (31March estimate)	1,039	1,058	1,044	1,031
Borrowing Above CFR	168	165	162	156
<i>Comprising:</i>				
Premiums	48	45	42	36
Shared Investment Scheme	120	120	120	120
Total	168	165	162	156

The ratio of gross debt to capital financing requirement shows that gross debt is higher than the capital financing requirement. This is because the shared investment scheme and the replacement overdraft facility are currently accounted for as borrowing but not counted against the capital financing requirement.

Treasury Management Indicators

Interest rate exposure

In order to control interest rate risk the County Council measures its exposure to interest rate movements. These indicators place limits on the overall amount of risk the county council is exposed to. The one year impact indicator calculates the theoretical impact on the revenue account of an immediate 1% rise in all interest rates over the course of one financial year.

	Upper Limit	Dec 2015
	£m	£m
Net Interest Payable at Fixed Rates	50.4	6.8
Net Interest Payable at Variable Rates	5.0	3.2
One year impact of a 1% rise in rates	10.0	1.7

Maturity structure of debt

Limits on the maturity structure of fixed debt help control refinancing risk

	Upper Limit %	Dec 2015
Under 12 months	75	17
12 months and within 2 years	75	38
2 years and within 5 years	75	19
5 years and within 10 years	75	65
10 years and above	100	19

Investments over 364 days

Limits on the level of long term investments helps to control liquidity, although the majority of these investments are held in available for sale securities.

Upper Dec 2015

	limit £m	£m
Authorised Limit		
Total invested over 364 days	900	577
Operating Limit		
Total invested over 364 days	600	577

Minimum Average Credit Rating

To control credit risk the County Council requires a very high credit rating from its treasury counterparties

	Benchmark	Dec 2015
Average counterparty credit rating	A+	AA

Minimum Revenue Provision Statement 2015/16

1. Introduction

This annual Statement required to be approved by the County Council arises from statutory guidance initially issued by the Department of Communities and Local Government (DCLG) in 2008 and updated in 2010.

Local Authorities are required to make a prudent charge to the revenue account in respect of provision to repay debt and other credit liabilities (mainly finance leases or PFI contracts). This is referred to as the Minimum Revenue Provision (MRP).

Guidance issued by the DCLG provides four options which can be used for the purpose of calculating the MRP. However the legal requirement is to set a prudent charge and therefore authorities are free to move away from the guidance if they feel it is appropriate.

2. The Four Options Explained

The first two options, the Regulatory and Capital Financing Requirement methods, can be applied to borrowing which is supported by government via Revenue Support Grants.

For capital expenditure financed by unsupported borrowing, as allowed under the Prudential Code, the guidelines identify the Asset Life method or the Depreciation method as possible alternatives.

- Regulatory Method

Before the Prudential Code system of capital finance was introduced in 2004 the MRP was calculated at 4% of the credit ceiling. On the introduction of the Prudential Code this was changed to a charge of 4% of Capital Financing Requirement, which is derived from the Balance Sheet and broadly represents the outstanding debt used to finance the fixed assets. However, to avoid changes in the charge to revenue in 2004/5 an adjustment figure was calculated which would then remain constant overtime. For technical accounting reasons this methodology would have led to an increase in the MRP, and would therefore have had an impact upon the County Council's budget, so this method has not been used and is not recommended for future use.

- Capital Financing Requirement (CFR) method

This option allows for the MRP to be calculated as 4% of the Capital Financing Requirement. The CFR is derived from the Balance Sheet and represent the value of the fixed assets, for which financing provision has not already been made. This

method of calculation has been used at the County Council since the introduction of the MRP in 2004.

- Asset Life Method

Guidelines for this method allow for a MRP to be calculated based on the estimated life of the asset. The actual calculation can be made in two ways as shown below; A straightforward calculation to set an equal charge to revenue over the estimated life of the asset. This charge will not be varied by the state of the asset or, By the use of an annuity method. This provides for greater charges in the later years of the assets life and should only be used if it can be demonstrated that benefits are likely to increase in the later years.

- Depreciation method

This requires a charge to be made of depreciation in line with normal accounting purposes. This could include the impact of any revaluations, and would be calculated until the debt has been repaid.

3. Finance Leases and PFI

With changes in accounting regulations in 2009/10 assets held under a PFI contract now form part of the Balance Sheet. This has increased the capital financing requirement and on a 4% basis the potential charge to revenue. To prevent the increase the guidance permits a prudent MRP to equate to the amount charged to revenue under the contract to repay the liability. In terms of the PFI schemes this charge forms part of the payment due to the PFI contractor.

4. Application at LCC

The relevant regulations require that the Council make "prudent provision" for the repayment of debt, and departure from the options outlined above is permissible if an alternative option is considered more appropriate.

From 2008/09 to 2014/15 the Capital Financing Requirement option has been applied to all supported borrowing incurred before 1 April 2007. This charge was based on 4% of the outstanding capital financing. It is now proposed to modify the approach. The charge based on a 4% reducing balance never effectively repays the debt. It is now considered that the 4% charge over-estimates the level of support within the revenue support grant. It is now proposed that the charge should still be made in reference to the capital financing requirement but that it is based upon a 50 year life rather than a reducing balance. It is assumed that there is an equal charge over each of the 50 years.

For 2008/09 to 2014/15 the Asset Life method (Equal Charge approach) has generally been applied to capital expenditure financed by unsupported borrowing. PFI payments will be made in line with the amounts due to repay the liability under the contract. During 2014/15 the Waste PFI contract was terminated and the PFI liability was replaced borrowing and this debt will be paid on an annuity basis. . An alternative approach to the equal charge is the annuity method which is the cheapest

MRP option in the early years, and maintains a constant impact on the revenue account over the useful life of the asset being financed, once interest costs are taken into account. The basis of the charge will still be the asset life and it is considered to be a prudent charge and it is proposed that the annuity basis is used in calculating the MRP.

Minimum Revenue Provision will not be made in relation to the following specific circumstances:

For assets constructed as part of the Preston, South Ribble and Lancashire City Deal where the borrowing will be repaid from other capital financing sources within the life of the City Deal, this is temporary borrowing that will be repaid from sources such as Community Infrastructure Levy and funding from the Homes and Communities Agency when the development facilitated by the construction of County Council assets has taken place. Thus an alternative prudent plan for repayment is in place. However, this position will be reviewed each year in the light of progress with the City Deal.

For borrowing associated with the Homes and Communities Agency Local Infrastructure Fund where the relevant assets and hence repayment are delivered through a Development Company which generates the income stream to ensure repayment of the liability. Again this provides an alternative prudent plan for repayment in line with the loan terms. The position will be subject to annual review.

No MRP will be charged until the financial year after the project is deemed to be complete.

5. Recommendations

In respect of the methodology for applying the minimum revenue provision in respect of the repayment of debt, Cabinet is asked to recommend that the Full Council:

- 1 Approves the Capital Financing Requirement method and the Asset Life method for expenditure as outlined in section 4.
- 2 Charges to revenue a sum equal to the repayment of any credit liability.
- 3 Approves the proposed treatment of assets constructed under the Preston, South Ribble and Lancashire City Deal and the Homes and Communities Agency Local Infrastructure Fund, subject to annual review.
- 4 Approve the policy of not starting charging revenue until the project is completed.

Cabinet

Meeting to be held on 7 January 2016

Report of the Director of Governance, Finance and Public Services

Electoral Division affected: None

Regulation of Investigatory Powers Act 2000: Annual Report to Cabinet

Appendix 'A' Refers

Contact for further information:

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Executive Summary

The Regulation of Investigatory Powers Act 2000 (RIPA) provides a framework for certain public bodies, including local authorities, to use "covert surveillance" to gather information about individuals without their knowledge for the purposes of undertaking statutory functions in connection with the prevention or detection of crime.

RIPA activity and authorisations are governed by Codes of Practice and Guidance issued by the Office for Surveillance Commissioners (OSC) and the Home Office.

Local authorities are also subject to regular inspections from the OSC.

Members are required to review the use of RIPA and set the policy at least once a year. Elected members cannot be involved in decisions on specific authorisations, but have oversight of the process via the reporting requirement to the Overview and Scrutiny Committee.

Recommendation

The Cabinet is asked to note the content of this report and approve the updated corporate policy with immediate effect.

Background and Advice

The Regulation of Investigatory Powers Act 2000 (RIPA) provides a framework for certain public bodies, including local authorities, to use "covert surveillance" to gather information about individuals without their knowledge for the purposes of undertaking statutory functions in connection with the prevention or detection of crime.

RIPA is permissive legislation, that is to say that it is not mandatory for a local authority to authorise covert surveillance under RIPA but if it does so then RIPA provides the local authority with a defence if the individual brings a claim against the local authority alleging that the surveillance breaches their human rights, specifically Article 8, the right to respect for private and family life, home and correspondence.

RIPA covers directed surveillance, for example the use of photography or video to record persons suspected of being engaged in criminal activity, and the use of a Covert Human Intelligence Source (CHIS), for example an informant, where the surveillance involves developing a relationship in order to obtain information.

Within the County Council, covert surveillance authorised pursuant to RIPA is used very infrequently and only in connection with Trading Standards activities, typically against rogue traders, counterfeiters or individuals engaged in selling tobacco or alcohol products to children. It is used in cases where it is important to obtain information to support potential criminal proceedings, and only where that information cannot be obtained by any other means.

Authorisations for the use of a CHIS are also used very infrequently and are primarily applied for where Trading Standards Officers engaged in the investigation of internet sales of counterfeit or unsafe products have to develop a relationship with a seller to earn their "trust" in order to obtain information.

RIPA activity and authorisations are governed by Codes of Practice and Guidance issued by the Office for Surveillance Commissioners (OSC) and the Home Office.

Local authorities are subject to regular inspections undertaken by OSC, the most recent Lancashire County Council inspection having taken place on 3 February 2014. The resulting report was considered in June 2014 by Cabinet following the inspection and a number of changes to procedure were subsequently adopted, including an update to the RIPA Corporate Policy; designation of the Head of Trading Standards and two Trading Standards Managers to authorise RIPA applications; and agreement to a response to the OSC in relation to the authorisation of directed surveillance of underage sales test purchasing activities.

In December 2014 some key changes were made to the Code of Practice for Covert Surveillance and Property Interference, and the Covert Human Intelligence Sources Code of Practice, the main revisions being:

- To take account of the requirement under the Protection of Freedoms Act that local authorities should seek approval for authorisations from a magistrate,
- To extend the length of time for which records must be kept in the central record to 5 years,
- To clarify the need for consideration of relevant authorisation for the use of third party individuals or organisations (for example private investigators and internet researchers)
- Making it clear that the need for authorisation for directed surveillance or CHIS should be considered prior to the use of the internet in investigations, and that such use should be both necessary and proportionate.
- To clarify the information required to be provided on a review of an authorisation.

Where necessary these revisions have been incorporated into the revised corporate policy, attached at Appendix 'A'.

Consultations

N/A

Implications:

This item has the following implications, as indicated:

Risk management

If local authorities undertake covert surveillance activities without having first gone through an appropriate RIPA authorisation process there is a risk that the County Council may not be able to successfully defend Human Rights challenges.

List of Background Papers

None

Reason for inclusion in Part II, if appropriate

N/A

APPENDIX 'A'

LANCASHIRE COUNTY COUNCIL

Corporate Policy and Guidance On The Regulation Of Investigatory Powers Act 2000

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- 1.1 Foreward
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- 2.1 Definitions
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- 3.1 Introduction
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- 3.7 Duration of authorisation
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- 4.1 Activity Involved
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- 7.1 Accessing Communications Data
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8. Seeking JP approval for authorisations

9. Lancashire County Council Auditing of Authorisations and Records

10. Inspections by the Office of the Surveillance Commissioner and the Interception of Communications Commissioner

11. Complaints

12. Management Records

General Statement of Policy

This policy document relates to use by Lancashire County Council officers of directed surveillance, covert human intelligence sources and access to telecommunications information.

- **The County Council is committed to upholding human rights**
- **As a public body and responsible employer, the County Council wants to conform to the letter and spirit of the requirements of the Regulation of Investigatory Powers Act 2000 and associated regulations and draft codes of practice relating to the use of covert surveillance, the use of covert human intelligence sources, and interception**
- **County Council officers will only undertake surveillance work when it is both necessary and proportionate to the ends it seeks to achieve**
- **From 1 November 2012 local authorities have been required to obtain judicial approval prior to using covert techniques. Local authority authorisations and notices under RIPA are only be given effect once an order has been granted by a justice of the peace in England and Wales, a sheriff in Scotland and a district judge (magistrates' court) in Northern Ireland.**
- **Additionally, from this date local authority use of directed surveillance under RIPA will be limited to the investigation of crimes which attract a 6 month or more custodial sentence, with the exception of offences relating to the underage sale of alcohol and tobacco.**

Corporate Guidance

1.1 Foreword

1.1.1 The Regulation of Investigatory Powers Act 2000 (RIPA) provides a framework for certain bodies (including local authorities) to undertake their duties aimed at preventing or detecting crime, which may interfere with a citizens normal human rights in respect of privacy by the use of 'covert surveillance', Covert Human Intelligence Sources (CHIS) i.e. undercover officers/informants and to obtain certain limited communications data.

1.1.2 The use of these techniques must be "necessary" and "proportionate" to the investigation i.e. simple, overt methods of gathering information are not available and the matter under investigation should not be trivial.

1.1.3 RIPA establishes detailed requirements in respect of the seniority, training awareness of Authorising Officers (referred to as 'Designated Officers' in the Act) and also the formal assessment and recording processes before undertaking any surveillance activity.

1.1.4 The Authorising Officer is required to be an officer at least at the following level within the authority:

Director
Head of Service
Service Manager or equivalent

The Authorising Officers for the Council are the Head of the Trading Standards Service and Trading Standards Managers in Trading Standards authorised by the Director of Governance, Finance and Public Services.

1.1.5 This guidance addresses the detailed requirements of RIPA and its codes of practice in relation to:

- ◆ the covert surveillance of individuals,
- ◆ the use of covert human intelligence sources, including undercover officers/agents/informants,
- ◆ the recording of telephone conversations
- ◆ for obtaining communications data.

This guidance provides a summary and overview of the legislation and codes of practice. DO NOT seek to rely on it alone. In the event of any doubt, any senior managers, or applicants, should refer to the relevant legislation or code and consult the Director of Governance, Finance and Public Services, the Director of Legal and Democratic Services or the Head of Trading Standards before any action is taken.

1.1.6 The Act and relevant Codes of Practice(as amended in December 2014) had effect from 1 October 2000 and impose requirements as regards authorisation, procedures and records, which must be followed by Public Authorities undertaking investigations which fall within the scope of the Act

1.1.7 Appropriate staff should familiarise themselves with the guidance and procedures, the legislation and the Codes of Practice. If in any doubt advice and guidance should be sought from an appropriate officer before undertaking any enforcement activities which may fall within the scope of the Act.

1.1.8 Lancashire County Council is committed to carrying out its enforcement functions in an equitable, practical and consistent manner. We are committed to these aims and to maintaining a fair and safe environment. This guidance demonstrates our desire to carry out our criminal investigations in a fair and equitable manner that respects all human rights and contributing to this commitment.

1.1.9 Enforcement activities of the Council that fall within the remit of the RIPA are subject to monitoring and oversight by the Surveillance Commissioner and the Interception Commissioner.

1.1.10 Complaints made regarding activities of the Council, which are within the scope of RIPA, can be investigated by an independent tribunal.

1.1.11 The Council may be liable to claims alleging breaches of an individual's rights under the Human Rights Act 1998 if officers fail to follow the requirements of RIPA and Codes of Practice.

1.1.12 Failure to follow RIPA and Codes may also adversely affect the admissibility of any evidence obtained using methods covered by RIPA. The safety of members of the public supplying information to the Council may also be compromised where an authorisation is not in place.

1.1.13 When undertaking any covert investigation, officers should have regard to the health and safety of persons affected by the activity. This may include themselves, colleagues and members of the public and the person you are being asked to observe. A risk assessment of the investigation technique being proposed should be undertaken, having regard to Corporate Health and Safety Policy and any supplemental guidance issued.

1.1.14 The monitoring of Internet and e-mail use is regulated by the Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000, made under RIPA.

1.2 Employee or Non-RIPA Surveillance

1.2.1 RIPA does not apply where surveillance is undertaken otherwise than for 'the detection or prevention of crime' for example as part of an internal investigation into possible employee misconduct where the investigation is not primarily aimed at detecting criminal offences. However, as such surveillance may infringe an individual's Human Rights in respect of privacy, then similarly to RIPA, the procedures of authorisation and assessment should be followed with the Authorising Officer using RIPA criteria in considering the surveillance request. Assessment and Approval forms, similar to RIPA, must be used in considering surveillance activity.

1.2.2 Similarly, child custody/protection investigations requiring surveillance should follow the same principles and use the non-RIPA Assessment forms. Copies of appropriately complete forms should be kept with the investigation file and the original sent to the Central Register in Legal and Democratic Services, but these will not be logged on the corporate RIPA database.

1.3 CCTV Use

1.3.1 CCTV surveillance systems are not normally caught by the Act where signs or cameras are visible or members of the public are aware that such systems are in use. However there may be occasions when public authorities use CCTV systems for the purposes of a specific directed investigation or operation. In such cases, authorisation for directed surveillance may be necessary. A protocol has been produced to protect those officers responsible for such systems from being pressured into carrying out directed surveillance without an appropriate authorisation.

1.4 Lancashire County Council Auditing

1.4.1 For appropriate corporate reporting and auditing of activities to ensure awareness and ongoing compliance with RIPA policies. Contact: Director of Legal and Democratic Services

2 Definitions

2.1 Surveillance and Covert Human Intelligence Sources

The Regulation of Investigatory Powers Act 2000

Authorising Officer Means the person(s) designated under Sections 28 and 29 of the Act to grant authorisations for directed surveillance and the use and conduct of a Covert Human Intelligence Source, respectively. The Head of Trading Standards and Trading Standards Managers in Trading Standards are designated as authorising officers by the Director of Governance, Finance and Public Services.

Conduct of a Source Any action of that source falling within the terms of the Act or action incidental to it. (ie what they do)

Confidential Material Matters of legal privilege, confidential personal
Includes: information (eg medical records), confidential journalistic material

Controller Means the person or designated managerial officer responsible for overseeing the use of the source.

Covert Human Intelligence Sources Commonly known as Agents, Informants, Undercover Officers. (NB. See RIPA and the Codes of (CHIS) Practice for the definition)

Covert Surveillance Means surveillance carried out in a manner calculated to ensure that the persons subject to the surveillance are unaware that it is taking place.

Directed Surveillance - Surveillance is directed if it is covert but not intrusive and is undertaken:

- a) for the purpose of a specific investigation/operation
- b) is likely to result in the obtaining **private information** about a person (whether or not one specifically identified for the purposes of the investigation or operation)

- c) Otherwise than by way of an immediate response to events or circumstances and it would not be reasonably practicable for an authorisation to be sought for the carrying out of the surveillance.

Handler An investigating officer having day to day responsibility for:

- dealing with the source on behalf of the authority
- directing the day to day activities of the source
- recording the information supplied by the source
- monitoring the security and welfare of the source.

Intrusive Surveillance Means Covert Surveillance that is carried out in relation to anything taking place on any residential premises or in any private vehicle **and** involves the presence of any individual **on** the premises or **in** the vehicle or is carried out by means of a surveillance device.

Private Information In relation to a person or business, this includes any information relating to an individual's private, business or family life.

Senior Responsible Officer (Surveillance)

An officer responsible for the integrity of RIPA processes for the authority and compliance with Part II of the Act. The Senior Responsible Officer for Surveillance and CHIS is the Director of Governance, Finance and Public Services.

(Note: See Senior Responsible Officer for Communications Data)

Surveillance includes: - monitoring, observing or listening to persons, their movements, their conversations, or their activities or communications.

- recording anything monitored, observed or listened to in the course of surveillance.
- Surveillance by or with the assistance of a surveillance device (any apparatus designed or adapted for use in surveillance eg cameras and microphones).

2.2 Communications Data

Communications Service Provider (CSP)

These include telecommunications, Internet (including e-mail) and postal service providers.

Designated Person

This is the authorising officer for the purposes of obtaining communications data, currently the two Trading Standards Managers.

Senior responsible Officer (Communications Data)

An officer responsible for the integrity of RIPA processes in relation to the Acquisition of Communications data under the Act, currently the Head of Trading Standards.

Single Point of Contact (SPOC)

This is a nominated officer within a public authority who has completed a training course and is accredited by the Home Office to make enquiries with communication service providers.

SPOC's will oversee the forwarding and receipt of notices and authorisations sent to and returned by CSPs.

(CSPs will not deal with enquires to obtain communications data from an officer who is not listed with them as being a nominated SPOC).

SPOCs: The SPOC role is carried out by the National Anti Fraud Network on behalf of Lancashire County Council, and access can be arranged by approaching the Head of Trading Standards.

3. Covert Surveillance Policy and Procedures

3.1 Introduction

3.1.1 Covert Surveillance means **surveillance which is carried out in a manner calculated to ensure that the persons subject to the surveillance are unaware that it is or may be taking place.**

3.1.2 An authorisation provides lawful authority for a Public Authority to carry out covert surveillance.

3.1.3 Any /Service seeking to use covert surveillance techniques must seek authorisation from the Director of Governance, Finance and Public Services or nominated deputy using the appropriate forms.

3.1.4 Whenever surveillance takes place and is for the purpose of obtaining, or is likely to obtain private information about a person (whether or not they are the target of the operation) an authorisation should be obtained.

3.1.5 By obtaining an authorisation, the surveillance operation is carried out in accordance with the law and the safeguards that exist.

3.1.6 Prior to granting an authorisation the Authorising Officer must be satisfied that the proposed surveillance is **necessary** on specific grounds and is **proportionate** to what it seeks to achieve.

3.1.7 Careful consideration must also be given to any Community sensitivities that may be exacerbated by any individual surveillance operation.

3.1.8 Before applying for an authorisation, the Investigating Officer should consider whether or not the evidence sought could be obtained by alternative possibly non covert methods.

3.1.9 The Authorising Officer must also believe that the surveillance is proportionate to what it seeks to achieve and is not excessive.

Note for All Applications for Authorisations

Necessity

For interference with an individual's private, family or business life to be necessary, the action must be for the purpose of detecting crime or prevention of disorder, be necessary to secure best evidence and that less covert or intrusive action would not serve the appropriate purpose.

Proportionality

The test for proportionality goes far beyond selecting the least intrusive method of investigation. The activity to be observed must not be trivial and must warrant the surveillance to be instigated

The activity will not be proportionate if it is excessive in the circumstances of the case or if the information which is sought could reasonably be obtained by other less intrusive means. All such activity should be carefully managed to meet the objective in question and must not be arbitrary or unfair. Proportionality should contain a consideration of four elements

- balancing the size and scope of the proposed activity against the gravity and extent of the perceived crime or offence;
- explaining how and why the methods to be adopted will cause the least possible intrusion on the subject and others;
- considering whether the activity is an appropriate use of the legislation and a reasonable way, having considered all reasonable alternatives, of obtaining the necessary result;
- evidencing, as far as reasonably practicable, what other methods had been considered and why they were not implemented.

3.2 Collateral Intrusion

3.2.1 The officer seeking the authorisation should also consider the possibility of collateral intrusion (this is where interference with the privacy of others not subject to the original surveillance may occur). Steps should be taken to assess the risk and where possible reduce the risk of collateral intrusion. Where unforeseen collateral intrusion occurs during an operation, the Authorising Officer must be notified and consideration given to amending the authorisation following a review. A separate Lancashire County Council CCTV protocol exists which also refers to avoiding collateral intrusion.

3.2.2 Consideration must also be given as to whether or not the surveillance activities of the Service take place where similar activities are also being undertaken by another agency eg the Police, Benefits Agency, Environment Agency and liaison with other enforcement agencies should be considered where appropriate.

3.3 Records of Authorisations

3.3.1 A record of all authorisations must be maintained for five years following the end of the authorisation for Covert Surveillance and CHIS. Records relating to Communications Data should be retained until they have been inspected by the Interception of Communications Commissioner. The record should include not only those authorisations granted, but also those which are refused.

3.3.2 All CHIS and Directed Surveillance records including JP authorisations must be supplied electronically by email to the Director of Governance, Finance and Public Services for the Central Record of authorisations. For the Acquisition of Communications data the record is maintained by the National Anti Fraud Network (NAFN). Nominated Authorising Officers may retain copy records for their own reference. Copies of all relevant documents should be returned electronically to the applying officer. An officer from the central record will advise Authorising Officers of the status of authorisations when renewals, cancellation etc are required.

3.3.3 Due to the sensitive nature of **all documentation** covered by the Act, consideration **must** be given to the means by which copies are forwarded to the central record to ensure confidentiality. Records of authorisations, renewals and cancellations should be forwarded by email to the Director of Governance, Finance and Public Services.

3.4 Authorisations for Directed Surveillance

3.4.1 An authorisation is required for covert surveillance undertaken:

- (a) for a specific investigation or operation; and
- (b) where the surveillance is likely to result in obtaining private information about any person (whether or not they are the subject of the surveillance).

3.4.2 Directed surveillance is conducted where the observation is for the purpose of gathering private information to produce a detailed picture of a person's life, activities and associations.

3.4.3 An authorisation is not required for covert surveillance carried out as an immediate response to events or circumstances which could not be foreseen. However, if this surveillance continues for a substantial period of time, or is recommenced after some time has elapsed, an authorisation may be required.

3.4.4 **Local Authorities cannot undertake intrusive surveillance.** Therefore Authorisations will not be granted for cover covert surveillance on residential premises or in any private vehicles where an individual or surveillance device is present on such premises or vehicle.

3.4.5 Where the surveillance activity is likely to result in **confidential material** being obtained, the Authorising Officer within Lancashire County council will be **the Chief Executive, or in his absence the person acting as Head of Paid Service** (see paragraph 4.3 of the Code of Practice on Covert Surveillance). In practice, advice should be sought from the Director of Governance, Finance and Public Services.

3.5 Covert Video Camera and Audio Recording Equipment

3.5.1 This type of equipment may be considered for the purpose of recording the transaction/activity and obtaining photographic evidence of individuals or activities eg Trading Standards test purchases etc. Concealed cameras and voice recorders may be used to record activities and conversations without the knowledge of the other party.

3.5.2 The deployment of such equipment clearly has the potential for not only obtaining personal information in relation to the suspect, but also collateral intrusion into the activities of other persons in the vicinity of the operation.

3.5.3 Whilst the use of such equipment does not automatically require an authorisation, consideration should be given to safeguard against any challenge as to Human Rights infringements. The manner in which such equipment is used may also invoke the requirements relating to **Covert Human Intelligence Sources**. Prior to such covert use of equipment, advice should always be sought from an Authorising Officer.

3.6 Grounds For Granting Authorisations

3.6.1 Surveillance **must** be shown to be necessary on specific grounds. Investigations undertaken by Local Authorities can only be authorised:

For the purposes of preventing and detecting crime or for preventing disorder

3.6.2 The Council operates parallel procedures for Non-RIPA investigations/surveillance (Ref paragraph 1.2)

3.6.3 Local Authorities are not able to issue urgent oral authorisations.

3.6.4 Officers should normally be able to prepare investigations in advance to enable a written authorisation to be obtained.

3.7 Duration of Authorisation

3.7.1 An authorisation is valid for three months, unless cancelled.

This begins on the day on which the Authorising Officer grants the application, the expiry date will be considered to be three months minus one day (authorisation ceases at 23:59) from the date of signature by the Authorising Officer.

3.7.2 The Authorising Officer should ensure that a system is in place to review authorisations before it ceases to have effect. It is a matter for the Authorising Officer to determine how frequently a review is necessary and practicable. This is stated within the authorisation as a control measure. The authorisation should also be reviewed prior to expiry to determine whether or not a renewal is required and can be justified. It is a requirement that review forms are maintained by the Central Record.

3.8 Renewal

3.8.1 An authorisation may be renewed for a further period of three months. It may be renewed more than once provided that the renewal continues to meet the criteria for authorisation. The number of occasions it has been renewed should be recorded.

3.8.2 A record should also be made of the following:

- Any significant changes to the previous authorisation
- Why it is necessary to continue the surveillance
- The value to the investigation of the information obtained so far by surveillance
- An indication of the length of time further surveillance may be necessary

3.9 Cancellations

3.9.1 The Authorising Officer who granted or who last renewed the authorisation must cancel it if satisfied that the directed surveillance no longer satisfies the criteria outlined in this procedure.

3.9.2 An authorisation should also be cancelled once the activity which was the subject of the authorisation has been completed. **The authorisation should not be left to lapse as a result of the time limit expiring.**

3.9.3 The reason for cancellation of the authorisation must be detailed on the cancellation form. The cancellation form should be sent to the Central Record by the Authorising Officer.

3.10 Records

3.10.1 Material obtained as a result of surveillance activities should be recorded on the "Record of Product obtained by Directed Surveillance Form".

3.10.2 A copy of this form should be forwarded to the Authorising Officer to be filed with the Authorisation form. The original should be retained by the Investigating Officer as part of the case file. Internal procedures within some services may require that all authorisations and case materials are held within a specific secure location. A copy should be retained on the case file.

3.10.3 A record must also be maintained of the period over which surveillance has taken place.

3.11 Handling Product from Surveillance Activities

3.11.1 "Product" from Covert Surveillance activities may consist of:

- Photographs
- Video film
- Voice recordings
- Surveillance log
- Officer's notes

3.11.2 The above may be required as evidence in current or future criminal proceedings. Officers must have regard to the provisions of the Criminal Procedure and Investigations Act 1996 in relation to unused material. Product obtained via an authorisation may be used by the authority in other investigations.

3.11.3 Although specific legislation and the Data Protection Act 1998 provide for the disclosure of information in certain circumstances, additional controls are introduced by RIPA.

3.11.4 The use of any product obtained by authorised surveillance activities outside of the local authority or the Courts should only be authorised in the most exceptional circumstances. This requirement seeks to prevent product from being used for grounds other than that for which it was obtained. **Joint operations should make reference to the potential use of evidence by each agency.**

3.11.5 Officers may receive requests from other agencies for product, which may include photographs of suspects, descriptions and vehicle details. Where this information has been obtained under an authorisation, further guidance should be sought from the Authorising Officer since disclosure may not be permitted under the provisions of the Code of Practice.

3.12 Storage of Product

3.12.1 Officers should ensure that evidential protocols are observed to ensure the integrity, security and confidentiality of material. This will ensure that the requirements of the Data Protection Act are addressed.

3.13 Disposal of Product

3.13.1 Officers should ensure that personal data is not kept for longer than necessary for the purpose for which it was obtained as follows:

Product which is not required as evidence should not be retained any longer than necessary. It will be necessary to retain product for a sufficient time to safeguard the Council against any

civil claims against infringement of an individual's Human Rights. **A period of five years** ensures that all of the retention period requirements are addressed.

3.13.2 Product which has been destroyed should have this fact recorded on the record of product obtained by Directed Surveillance and be signed by the officer

3.13.3 An amended copy of this Record form should be forwarded to the Authorising Officer indicating destruction of the product obtained from the surveillance activity.

4 Guidance Notes for the Authorisation of Directed Surveillance

4.1 Activity Involved

Does the activity involve:

The necessary and proportionate systematic covert surveillance of an individual which is likely to gather personal information?

If so, an authorisation is required

4.1.1 Low-level activity for example, to determine whether a premise is still trading, will not require authorisation. Surveillance carried out in response to immediate events will also not require authorisation. However, if the surveillance activity continues for any period of time, an authorisation will be required.

4.1.2 The Authorising Officer must be satisfied that:
The authorisation is:

Necessary for the purposes of preventing and detecting crime or for preventing disorder or is pursuant to Council Policy for Non-RIPA surveillance (Ref Paragraph 1.2)

4.1.3 The Authorising Officer must also believe that the surveillance is proportionate to what it seeks to achieve, and is not excessive.

Where the identity of the subject is known to the officer, measures should also be taken to verify (where appropriate) the address under surveillance (eg electoral register, business rates, utility suppliers). The Authorising Officer must include some control measures within the authorisation eg reviews, circumstances in which the surveillance must be stopped.

4.1.4 The application should provide the background to the investigation and details of other methods which have failed to provide the information being sought or why other methods are not appropriate.

4.1.5 The description of the activity to be undertaken should be as comprehensive as possible describing how the surveillance will be undertaken, where it will occur and any equipment (eg cameras, video camera) which will be used. The investigating officers must not employ techniques which are not permitted by the authorisation.

4.1.6 The information being sought should be described and how this may provide evidence of the offence or other matter being investigated. The potential for collateral intrusion should be identified and plans to avoid/minimise such intrusion.

4.1.7 A statement must also be included as to the likelihood of obtaining confidential material/religious material eg the premises are a residential property, not located near any medical, religious or legal establishments, therefore there is no likelihood of obtaining any confidential/religious material.

4.1.8 If confidential material is being sought, or is likely to be obtained, a higher level of authorisation is required. This authorisation can only be given by the Chief Executive (or in his absence by the Head of Paid Service). Further guidance should be sought from the Director of Governance, Finance and Public Services if confidential material becomes relevant to the investigation.

4.1.9 Where applications for authorisations are refused, records of the refused application must also be maintained stating the reasons for the refusal and a service number. Copies of these refusals must be sent for inclusion in the central record.

4.2 Directed Surveillance via Recording of Telephone Conversations

4.2.1 The interception of communications sent by post or public telecommunications systems or private telecommunications systems attached to the public network may only be authorised by the Secretary of State (Part I RIPA).

4.2.2. The attachment of a general surveillance device eg "wiretapping" to a telecommunications system can only be undertaken under a warrant issued under Section 5 of RIPA (this is not available to the Council).

4.2.3 However an exception to the rule requiring a warrant exists, where one party to a telephone conversation consents and where an authorisation for directed surveillance is obtained. See Section 48(4) of RIPA.

4.2.4 For example, a member of the public may consent to the recording of a telephone conversation made by or to him/her. An officer may seek to record such a conversation to assist with an investigation into another person's activities.

4.2.5 An officer may also request a colleague to telephone another person as part of an investigation or may make the call himself or herself. These situations may require an authorisation to be granted depending on the nature of the information to be obtained. Where the call is a simple call to enquire about the availability or description of goods or services on offer for supply as any consumer would enquire, an authorisation will not be required.

4.2.6 Where the person giving consent is not present and a recording made, this activity is deemed to be intrusive surveillance and is beyond the scope of activities authorised for the Council.

4.2.7 Where the Officer acts in an overt capacity, ie clearly identifying the fact that they represent the Council, the activity will not require a directed surveillance authorisation.

4.2.8 Where the Officer makes/receives the call acting covertly, with the possibility of private information being obtained and a relationship being entered into, both a directed surveillance and CHIS authorisation will be required.

4.2.9 Similarly if a member of the public or another person acting as a covert source is asked to record a telephone conversation made/received by them, both authorisations will be required to be in place.

4.3 Test purchasing of age restricted products

4.3.1 Juveniles may only be authorised as a CHIS by the Head of Paid Service.

4.3.2 Officers should have regard to the Better Regulation Delivery Office code of Practice in determining whether directed surveillance authorisation will be necessary in the context of the planned operations.

4.3.3 Where the information obtained relates only to whether a sale is made or not, and no other information is likely to be obtained which is not already known to the officer directed surveillance authorisation is not necessary.

5 Covert Human Intelligence Sources (C.H.I.S.)

5.1 Introduction

5.1.1 This section of the guidance document deals with Covert Human Intelligence Sources (CHIS), more commonly known as:

Undercover Officers

Informants/Agents

Authorisation is a two-stage process:

- (a) to use a source
- (b) an authority for the conduct of a source

NB Juvenile surveillance CHIS – normally no-one under 18 years or any vulnerable individual should be considered as a CHIS (see 5.6 – 8)

5.1.2 A CHIS is a person who establishes or maintains a personal or other relationship with another person for the covert purpose of:

- (a) Using such a relationship to obtain information or to provide access to information to another person, or
- (b) Disclosing information obtained by the use of such a relationship or as a consequence of such a relationship.

In addition, a person who covertly provides information to a public authority is potentially a CHIS if he has obtained that information in the course of or as a consequence of the existence of a personal or other relationship, whether or not the relationship has been established or maintained for that purpose. A repeat informant if and when it becomes apparent that he obtains his information in that way is a CHIS to whom a duty of care is owed, if the information is acted upon. Legal advice should be taken before acting on the information provided by such a source.

5.1.3 The relationship is used covertly if, and only if, it is conducted in a manner calculated to ensure that the person is unaware of its purpose.

5.1.4 The Council receives complaints/information routinely from the public and traders regarding the alleged activities of individuals. The actions of these complainants do not generally fall within the definition of a covert source since they are a one off provision of information. However, a person may become a covert source if an ongoing relationship with the Council develops and activities described in paragraph 5.1.2 above are carried out.

5.1.5 Where the nature of the complaint relates to a matter where an officer requests the complainant to obtain further information covertly via a relationship with another individual, this activity is likely to fall within the scope of RIPA. An authorisation will therefore be required before seeking such information. By following the authorisation procedures, the Council will also be in a position to seek to safeguard the identity of the source in any subsequent legal proceedings. Further guidance should be sought from the Director of Governance, Finance and Public Services Group on this issue to ensure that the identities of any such individuals are safeguarded in the event of any legal proceedings, tribunals or disciplinary hearings.

5.1.6 The Code of Practice on Covert Human Intelligence Sources relates not only to sources (which may commonly be referred to as informants) but also the activities of sources, which consist of undercover officers who establish or maintain a covert relationship to obtain information and evidence.

5.1.7 Before a source may be engaged or an undercover officer deployed the use must be authorised. A separate authorisation for the conduct is also required. The use authorisation effectively registers the source with the Council. The conduct will address each separate operation/investigation in which that source may be involved.

5.1.8 In most cases, the use and conduct of a source will be restricted to a single investigation. However, situations may arise where different conducts are required which can be done once the use authorisation is in place. An example would be officers of a Service who undertake investigations which require different undercover stories to be adopted. The use authorisation enables them to undertake such covert activities. The conduct authorisation addresses each different cover story and activity within a different investigation/operation.

5.1.9 The same authorisation form is used for both use and conduct, with the deletion of Use*/Conduct* as appropriate. A conduct authorisation should be traceable back to the original use authority. A handler and controller must also be designated as part of the authorisation process and detailed records of the use, conduct and tasking of the source maintained.

5.1.10 An Authorising Officer is a person entitled to give an authorisation for the use or conduct of a source in accordance with Section 29 of the RIPA. The Head of Trading Standards and Trading Standards Managers have been designated as authorising officers.

5.1.11 The use of a CHIS should be **necessary** and **proportionate** to the matter being investigated (see para 3.1.9).

5.1.12 Failure to obtain an authorisation may render the Council liable to a claim of infringing the human rights of an individual and may adversely affect the admissibility of any evidence obtained by the use of covert methods employed by a source. It is also established that a public authority owes a duty of care to a CHIS. Failure to undertake a robust risk assessment and authorisation may also adversely affect the position of the Council in the source suffering any harm as a result of the activity in which they have been engaged.

5.1.13 Careful consideration must be given to any potential sensitivities which may exist before deciding whether to use a CHIS in a particular community or against a particular individual.

5.1.14 A separate directed surveillance authorisation is not required where any surveillance device (technical equipment) is used in the presence of the covert source.

5.1.15 A CHIS carrying surveillance equipment can be invited to enter residential premises or a private vehicle. However the CHIS cannot install surveillance equipment in residential

premises or a private vehicle since this activity constitutes intrusive surveillance and is not available for use by local authorities.

5.2 Further Guidance on the C.H.I.S Process.

5.2.1 When seeking an authorisation for an individual to act as a CHIS, consideration needs to be made of their potential role in the investigation. Are they prepared to be a witness? Do they need to be given protection as a result of providing information? The source may also be in a position to provide information relating to a number of different matters worthy of investigation.

5.2.2 The motives of potential sources need to be considered as part of the evaluation process. Could they be motivated by possible rewards or revenge? The aim could be to deflect attention away from themselves towards other individuals.

5.2.3 Has consideration been given to building up a detailed profile of the potential source and their associates? In all cases, a face-to-face meeting with the complainant or any other person considered as a potential source should take place. Please be aware that the individual may have needs in respect of language, hearing or sight.

5.2.4 Directed surveillance may be needed to evaluate the source. Consideration should be given in certain circumstances to carrying out checks on the source with the Police. A thorough risk assessment must be carried out on the potential source and the proposed conduct.

5.3 Management of Sources

5.3.1 Tasking is the assignment given to the source by the handler/controller asking him/her to obtain information or to take action to obtain information.

5.3.2 All authorisations should be in writing and in place before tasking a source. Every source must have a designated handler and controller. RIPA provides for urgent oral authorisations to be granted. However, Authorising Officers should bear in mind the potential risks and liabilities of authorising a CHIS without a risk assessment being undertaken. Such authorisations should therefore only be considered in exceptional circumstances.

5.4 Designated Handlers and Controllers for the Use of Covert Human Intelligence Sources

5.4.1 Where the CHIS is a complainant or an informant, the Handler will be the Investigating Officer and the Controller will be their line manager. Where the CHIS is employed by the Council acting in an undercover capacity, the Handler will be the officer's line manager and the Controller will be another manager within the Service. This arrangement will ensure that an officer does not act as a Controller and Authorising Officer thereby ensuring a level of independent scrutiny.

5.5 Security and Welfare of Sources

5.5.1 A source has no licence to commit crime. In certain circumstances it may be advisable to provide written guidance to the source explaining what is being requested of them and the limits of the tasking. The source should be asked to sign such a document to confirm that they understand the terms of reference.

5.5.2 A public authority deploying a source should take into account the safety and welfare of the source when carrying out any actions in relation to the authorisation or tasking. The foreseeable consequences of the tasking should also be considered.

5.5.3 A Risk Assessment should be undertaken to evaluate the source and to determine the risk to the source of any tasking and the likely consequences should the identity and role of the source become known to the subject or others involved with the subject.

5.5.4 The handler should draw to the attention of the controller:

The Risk Assessment

The Conduct of the Source

The Safety and Welfare of the Source

A Handler is responsible for:

Dealing with the source on behalf of the Council

Directing the day to day activities of the source

Recording the information supplied by the source

Monitoring the security and welfare of the source

5.5.5 Where a source is known or suspected of being involved in crime, consideration should be given to their motives in supplying information. It may also be a prudent step in the management of such a source to have two officers present during any meetings with the source. Background checks on the potential source via the Police Local Intelligence Officer should also be considered.

5.5.6 Special provisions exist for the conduct in use of juvenile sources (Under 18).

A source under 16 cannot be engaged to use a relationship with any person having parental responsibility for them. A source under 16 must have an appropriate adult present during any meetings and a risk assessment must also take place before granting or renewing an authorisation for the conduct and use of a source under 18. This will take account of physical and psychological risks.

See the Regulation of Investigatory Powers (Juveniles) Order 2000 for detailed guidance.

5.5.7 Special consideration should also be given to the use of vulnerable individuals as a source. This will require the highest level of Authorising Officer (see the code of practice for further guidance).

5.5.8 Authorisations for juvenile sources ie a source under the age of 18, when the authorisation is granted, have effect for one month. **Juvenile and vulnerable source authorisations can only be issued with the authorisation of the Head of Paid Service.**

5.6 The Application for Authorisation

Must include:

5.6.1 The ground on which the authorisation is sought:

- Preventing, detecting crime or preventing disorder (or other Lancashire County Council Non-Ripa policy circumstances)
- An explanation of the necessity and proportionality of the Use/Conduct.
- Where the matter relates to a specific investigation, details of that investigation or operation.

- Details of the purpose for which the source will be tasked.
- Details of what the source will be tasked to do.
- Details of the level of authority required having regard to any confidential material that might be obtained as a consequence of the authorisation. (This will invoke the requirement to be authorised by the Chief Executive if confidential material is being sought or is likely to be obtained).
- Details of who will be affected and plans to avoid/minimise collateral intrusion. Where this changes, the Authorising Officer must be informed and the authorisation reviewed.
- A detailed Risk Assessment must have been undertaken. A review may also be required if the assessment is not current.
- The Authorising Officer may wish to impose control measures on the authorisation that is granted.

5.6.2 Unless renewed or cancelled, an authorisation remains in force for:

12 months from the date of issue (Juveniles - one month). The authorisation should be given a unique operation reference number and be recorded in management record file. Conduct authorisations should be referenced to the original use authorisation.

A duplicate/copy of the authorisation should be issued to the officer. This will ensure that the officer has a record of the scope of the activity authorised.

5.6.3 Applications which are refused should also be recorded together with the reasons for the refusal and a service number. Copies of these refusals must be sent for inclusion in the central record.

5.7 Duration of Authorisations

5.7.1 Authorisations have effect for a period of twelve months. It is suggested that the authorisation to use the source has effect for up to 12 months (other than juveniles, see above), however the conduct may be restricted to a shorter period or be made subject to reviews set as a control measure by the Authorising Officer.

5.7.2 Records of authorisations to be retained for a minimum period of one year to comply with the code. However, it will be policy to retain the records for a period of five years to safeguard against any civil claims against the Council under the Human Rights Act 1998.

5.7.3 Destruction of the authorisation form should be documented in the Authorising Officers Management Record file.

5.8 Renewals and Reviews

5.8.1 An authorisation may be renewed after the Authorising Officer reviews the use made of the source having regard to:

- a) The tasks given to the source
- b) The information obtained from the source.

If satisfied that the original authorisation criteria are met, a renewal may be granted.

5.8.2 Since an authorisation for a CHIS may remain in force for a period of twelve months, regular reviews should be undertaken to ensure the ongoing validity of the activity and the ongoing welfare and security of the source. Any changes to circumstances may require that further risk assessments are undertaken.

5.8.3 The reviews should be undertaken at intervals of no longer than three months and documented. Additional control measures may also be introduced as a result of a review. The Authorising Officer should implement a system to identify appropriate review dates.

5.9 Cancellations

5.9.1 An Authorising Officer must cancel an authorisation where:

The use or conduct of the source no longer meets the original authorisation criteria.

The procedures for managing the source are no longer in place.

Where possible the source should be informed of the cancellation, and this fact noted on the cancellation. The authorising officer should give directions on the handling, storage or destruction of the product of surveillance.

5.9.2 Where an investigation no longer requires the authorisation to be in place eg the evidence has been obtained, it should be cancelled promptly rather than allowed to expire through time, and the reason for cancellation documented.

5.10 Source Records

5.10.1 Records of Use of the source and the product provided by the source should be maintained by the service for a period of five years. Records should not be destroyed without the authority of the Authorising Officer. Destruction of records should be documented in the Central Records file.

5.10.2 The following information must be recorded:

- Authorisation Reference Number
- Authorising Officer
- Identity used by Source (If any)
- Identity of Source
- Reference used in the authority to refer to Source (If any)
- Information relating to security and welfare of Source
- A record that any risks to the security and welfare of the Source have been explained to and understood by the Source
- Records of reviews conducted on the continuing use and welfare of the Source
- The date when the Source was recruited

- The circumstances of the recruitment
- Identity of the Handler and Controller (and details of any changes)
- A record of the tasks and activities given to the Source
- A record of all contacts or communications between the Source and a person representing the Council
- The information obtained through the Source
- How the information is used
- A statement as to whether any payment, benefit or reward is provided by or on behalf of any investigating authority and details of it*.
- Reasons for cancelling/not renewing the authorisation and the date and the time of such a decision.

*(Please seek guidance regarding any payment, benefit or reward you may wish consider from an Authorising Officer).

Notes:

Necessity

For interference with an individual's private, family or business life to be necessary, the action must be for the purposes of preventing and detecting crime or of preventing disorder, be necessary to secure best evidence and that less covert or intrusive action would not serve the appropriate purpose.

Proportionality

The test for proportionality goes far beyond selecting the least intrusive method of investigation. The activity to be observed must not be trivial and must warrant the surveillance to be instigated.

The activity will not be proportionate if it is excessive in the circumstances of the case or if the information which is sought could reasonably be obtained by other less intrusive means. All such activity should be carefully managed to meet the objective in question and must not be arbitrary or unfair. Proportionality should contain a consideration of three elements: (a) that the proposed covert surveillance is proportional to the mischief under investigation; (b) that it is proportional to the degree of anticipated intrusion on the target and others and (c) it is the only option, other overt means having been considered and discounted

6 Risk Assessments for All RIPA/Surveillance Activities

6.1 Whenever undertaking covert directed surveillance or engaging in the conduct and use of a CHIS, the proposed activity must be the subject of a risk assessment and evaluation of the proposed Source.

6.2 Directed Surveillance activities clearly have the potential to expose staff to hazards should their activities become known to the subject or even to others during the operation. The use of a CHIS has the potential to expose handlers, undercover officers, agents/informants and

the public to health and safety risks. A duty of care may also lie with officers and the Council in managing sources.

6.3 Authorising Officers, Controllers, Handlers Undercover Officers and Investigating Officers must all have regard to the Council's Corporate Policy on Health and Safety. This addresses issues such as lone working and violence to staff.

6.4 It is a matter for each Service to determine the training required to ensure that staff are competent to undertake risk assessments of proposed operations/use of covert sources. All incidents/dangerous occurrences during the course of operations should be reported in accordance with the relevant Health and Safety Procedures.

6.5 Consideration should also be given to staff training requirements to engage in covert activities, surveillance and acting in an undercover capacity.

6.6 This section of this guidance document is intended to provide an overview which must be borne in mind when undertaking activities within the scope of RIPA.

6.7. Further Guidance on Health and Safety issues is available from Corporate HR/ Health and Safety sources.

6.8 Risk assessments for directed surveillance operations should be undertaken by the officer in charge of the proposed activity and submitted with the authorisation application.

6.9 Risk assessments for the use of a CHIS should be undertaken by the Handler and considered by the Controller as part of a risk management process. The assessment should then be forwarded to the Authorising Officer with the application. The assessment should consider the Ethical, Personal and Operational Risks of the proposed activity. The evaluation of a potential source is an important part of the application process.

6.10 Risk assessment is not a one off activity but an ongoing process throughout the operation and use of the source, since circumstances may change and a review may be required.

6.11 The nature of the risks surrounding the deployment and management of individual sources, handlers and operational activities will vary according to a wide range of factors on a case by case basis. Risk assessment allows the handler and controller to advise the Authorising Officer of the plan for managing the risks.

6.12 Authorising Officers will **not** authorise a Directed Surveillance operation or the use of a source without the evidence that the risks have been considered and a plan for their management exists.

7 Communications Data

7.1 Accessing Communications Data

7.1.1 The relevant provisions of Part I Chapter II of RIPA 2000 came into force on 5 January 2004. This established a formal legal framework, by which public authorities can obtain communications data by a lawful method, consistent with article 8 of the Human Rights Act 1998.

7.1.2 This section of the guidance document details the systems in place to ensure compliance with RIPA when an investigating officer seeks to obtain communications data within the scope of their enquiries.

7.1.3 In a similar manner to the existing provisions of RIPA relating to directed surveillance and the use of a CHIS, a process of submitting an application and securing an authorisation is established by the legislation and code of practice.

For this part of the Act the lead Service for the Authority is the Trading Standards Service. The Senior Responsible Officer for this Part of the Act is the Head of Service for Trading Standards.

7.1.4 Under Section 22(2) of RIPA, communications data which local authorities are entitled to access can only be sought for the purpose of:

The prevention and detection of crime or preventing disorder Section 22(2)(b)

The application is also put to the two tests under RIPA of necessity and proportionality.

7.1.5 This activity cannot be undertaken by an officer as communications service providers will only accept requests for information from accredited officers registered with the Home Office and termed **Single Points of Contact (SPOC)**.

7.1.6 The National Anti Fraud Network acts as the SPOC on behalf of Lancashire County Council. Applications are made by officers via a secure network, and forwarded to the designated persons in the Trading Standards Service for authorisation by means of this network.

7.1.7 Records of all applications, authorisations, notices, cancellations and refusals are maintained by NAFN. These are subject to periodic inspection by the body appointed to have an overview of this Part of the Act, the Interception Commissioner. As with other parts of RIPA there is a Central Record. For this part of the Act it is maintained by NAFN on behalf of Lancashire County Council.

7.2 What is Communications Data

7.2.1 Communications data is information held by communication service providers such as telecom, Internet and postal companies relating to the communications made by their customers.

7.2.2 Communications data includes the detail of the user, the use and the content (Traffic) of the communication. (Note: Local Authorities do not have the right to access traffic information).

7.3 Who are Communication Service Providers

7.3.1 Communications data is obtained from Communications Service Providers (CSPs) These include:

Telecommunications Providers

- Mobile Phone service providers eg Orange, Vodafone, T Mobile, O2
- Landline telephone service providers eg BT, NTL, Cable and Wireless
- International Simple Voice Resellers eg One-Tel

Internet Service Providers (ISPs)

Examples: AOL, BT, NTL

Virtual ISP's: Freeserve

Portals: Hotmail, Yahoo, Lycos

Postal Providers

Royal Mail, Parcelforce, DHL
Small parcel courier services
Accommodation agencies, which forward mail to clients

7.4 What Information can be Obtained from Communications Service Providers

7.4.1 Information about communications service users

Section 21(4)(c)

This category mainly includes personal records supplied to the CSP by the customer/subscriber. For example, their name and address, payment method, contact number etc.

- Name of account holder/subscriber
- Installation and billing address
- Method of payment/billing arrangements
- Collection/delivery arrangements for PO Box (but not where from or to)
- Other customer information such as any account notes, demographic information or sign up data (not passwords or personalised access information)

7.4.2 Information about the use of the Communications Service

Section 21(4)(b)

This category mainly includes everyday data collected relating to the customer's use of their communications system. For example, details of the dates and times they have made calls and which telephone numbers they have called.

- Outgoing calls on landline or contract or prepay mobile
- Timing and duration of service usage
- Itemised connection records
- Internet log on history
- Emails log (sent)
- Information on connection, disconnection and reconnection of services
- Information on the provision of conference calling, call messaging, call waiting and call barring
- Information about the provision and use of forwarding/redirection services (postal and telecom)
- Records of postal items, such as records of registered, recorded or special delivery postal items, records of parcel consignments, delivery and collection

7.4.3 Information about Communications (Traffic Data)

Section 21(4)(a)

Local authorities are not permitted to obtain 'traffic' data (ie the actual content of the communication or more detailed information or tracking)

This category mainly includes data generated by the CSP (network data) relating to a customer's use of their communication system (that the customer may not be aware of) for example, cell site data and routing information.

- Information identifying the sender and recipient (including copy recipients) of a communication
- Information identifying any location of a communication (such as mobile phone cell site locations data)
- Routing information identifying or selecting any apparatus through which a communication is transmitted – for example dynamic IP address allocation, web postings and e-mail headers
- Call detail records for specific calls (such as calling line identity – incoming calls)
- Web browsing information (only the web site name is disclosed and not the pages visited on the web site)
- Information written on the outside of a postal item (such as a letter or parcel)
- Online tracking of communications (including postal)
- Signalling information and dialling sequences that affects the routing of a communication (but not the delivery of information) in the investigation of “dial thru” fraud

Please note that these lists are not exhaustive and the CSPs cannot all provide the same information.

7.5 How can this Information be Obtained

7.5.1 Under Section 22(2) of RIPA, communications data which local authorities are entitled to access can only be sought if it for the purpose of:

The prevention and detection of crime or preventing disorder Section 22(2)(b)

7.5.2 The application is also put to the two tests under RIPA of necessity and proportionality.

7.5.3 RIPA establishes two methods by which communications data may be obtained:

Notices

Authorisations

7.5.4 A Notice under Section 22(4) of RIPA requires the CSP to collect or disclose the data on behalf of the public authority.

7.5.5 An authorisation under permits the public authority to collect the information. This may be where the CSP is not capable of collecting the data or a prior agreement is in place to allow the authority to access the data.

7.5.6 A CSP only has to provide the data in a reasonable time and if practical to do so. Different CSPs will have different types of data and differing retention periods.

7.5.7 When it becomes clear that a witness statement is required to formally produce the data which has been provided by the CSP, it should be requested without undue delay.

7.5.8 CSPs are entitled to recover reasonable costs incurred in providing the data and supplying witness statements. These vary from one CSP to another.

7.5.9 Where the notice or authorisation is approved by the Designated Person (Authorising Officer), it remains in force for a period of one month.

7.5.10 Notices and authorisations which are no longer required are no longer necessary or proportionate and must be cancelled.

7.6 Contact with the Communications Industry

7.6.1 Notices and, where appropriate, authorisations for communications data can only be channelled through single points of contact officers (SPOCs) within each public authority.

7.6.2 Similarly, requests for a witness statement following receipt of data from a CSP should also be via a SPOC.

7.6.3 SPOCs have been trained via a course accredited by the Home Office and the details of nominated SPOCs within each public authority are held by each CSP.

A CSP will therefore not deal with any request received from another un-accredited source of enquiry.

7.7 The Role of the SPOC

7.7.1 SPOCs will enable a more efficient regime to be developed as they will deal with CSPs and become aware of the data which they hold.

7.7.2 The SPOC plays an important role in the self-regulation and internal quality control of a public authority in ensuring that the requirements of RIPA are adhered to in requesting and obtaining communications data.

7.7.3 SPOCs reduce the demands upon CSPs from a great number of sources within a public authority.

7.7.4 A SPOC will be able to advise the applicant officer of the nature and practicalities of obtaining the data which is being requested.

7.7.5 The SPOC will advise the applicant on the content of the application request prior to submission to the Authorising Officer and where necessary refuse the application at that point for stated reasons.

7.7.6 The SPOC provides a safeguard for CSPs in ensuring that applications and notices are genuine.

7.7.7 SPOCs will retain a list of contact points with relevant CSPs.

7.7.8 NAFN provide a SPOC service on behalf of Lancashire County Council, and access details are maintained within the Trading Standards Service.

7.8 The Role of the Authorising Officers

7.8.1 This officer considers the necessity and proportionality of any application for communications data (see earlier sections of this Guidance Document which provide further information on these tests).

7.8.2 Consideration should also be given to the issue of collateral intrusion where other persons may be affected by the granting of the notice or authorisation.

7.8.3 The Authorising Officer is required to be an officer at least at the following level within the authority:

Director
Head of Service
Service Manager or equivalent

An Authorising Officer should have the necessary training and experience to be competent to authorise activity. A record of Authorising Officers will be kept within the Trading Standards Service.

7.9 The Application Process

7.9.1 The investigating officer should log in to NAFN and complete the relevant online form.

7.9.2 The application should then be submitted to the SPOC via NAFN who will give consideration to the following:

- Whether the data being requested is capable of being provided by the CSP
- The reasons for the data being required in terms of the investigation being conducted and the offence being investigated
- The grounds for necessity and proportionality being addressed
- Should the application be deemed satisfactory, a Notice or authorisation form will be completed, this together with the application form will be submitted to the Authorising Officer for authorisation or refusal.

Should the SPOC, however, consider there are grounds refusing the application, the form will be returned to the officer via the network.

When a Notice or authorisation is approved by the Authorising Officer, the SPOC will send it to the relevant CSP.

A Notice is only valid for a period of one month.

When, during the life of a Notice or authorisation, it is no longer necessary or proportionate or is no longer required by the investigation it must be cancelled.

7.10 Records and Errors

7.10.1 NAFN will retain records of all applications, refusals and authorisations passed to the designated person. Copies of all Notices/authorisations and refusals from the Authorising Officer will be retained.

7.10.2 This will allow a full audit trail for an application for obtaining communications data.

7.10.3 Documentation will be maintained by NAFN for inspection by the Interception Commissioner and complaints falling within the remit of the Complaints Tribunal.

7.10.4 Where any errors have occurred in granting authorisations or notices (eg subscriber details of an incorrect telephone number being obtained), a record must be kept and the matter explained by means of a report to the Commissioner as soon as practicable. NAFN or the authorising officers will notify the Trading Standards Head of Service of any errors as soon as possible so a report can be sent to the Interception Commissioner.

8 Seeking JP approval for authorisations

8.1 In all cases involving authorisation of Directed Surveillance, use of CHIS, and access to Communications Data, officers must seek prior approval from a JP before undertaking the activity.

8.2 If the JP is satisfied that the statutory tests have been met and that the use of the technique is necessary and proportionate he/she will issue an order approving the grant or renewal for the use of the technique as described in the application.

8.3 The officer will make an appointment at the relevant magistrates' court and will provide the JP with a copy of the original RIPA authorisation or notice and the supporting documents setting out the case. This forms the basis of the application to the JP and **should contain all information that is relied upon**. For communications data requests the RIPA authorisation or notice may seek to acquire consequential acquisition of specific subscriber information. The necessity and proportionality of acquiring consequential acquisition will be assessed by the JP as part of his consideration.

8.4 The original RIPA authorisation or notice should be shown to the JP but will be retained by the local authority so that it is available for inspection by the Commissioners' offices and in the event of any legal challenge or investigations by the Investigatory Powers Tribunal (IPT). The court may wish to take a copy.

8.5 In addition, the local authority will provide the JP with a partially completed judicial application/order form.

8.6 The order section of this form will be completed by the JP and will be the official record of the JP's decision. The local authority will need to obtain judicial approval for all initial RIPA authorisations/applications **and renewals** and the local authority will need to retain a copy of the judicial application/order form after it has been signed by the JP. There is no requirement for the JP to consider either cancellations or internal reviews.

8.7 Further more detailed guidance and documentation should be accessed via the Home Office Guidance available on the www.gov.uk website.

8.8 Where JP approval is granted, this should be forwarded to the Director of Governance, Finance and Public Services for the Central record, and directed surveillance and CHIS activity can commence. For Communications Data, the approval needs to be returned to NAFN for the SPOC to contact the relevant CSP.

9 Lancashire County Council Auditing of Authorisations and Records

9.1 Each Service must annually undertake a review of their activity within the scope of RIPA and complete the annual RIPA and non RIPA return form which must be returned to the Director of Governance, Finance and Public Services.

9.2 A cross Council officer working group meets four times a year to monitor activity under the Act, arrange training and provide guidance. The Senior Responsible Officer is a member of the group and reports activity under RIPA to the Crime and Disorder Overview and Scrutiny Committee.

9.3 Part of the Audit will focus on a review of Projected Service activity and that all relevant staff have had sufficient training.

9.4 The following will also fall within the scope of the audit:

- Applications
- Authorisations
- Risk assessments
- Reviews and Renewals
- Cancellations
- Records of Product of Directed Surveillance
- Source Records
- Staff Awareness

9.5 The audit will seek to establish compliance of the authorisations/renewals/cancellations and records with the following:

- RIPA
- Statutory Instruments made under RIPA

- The Code of Practice on Covert Surveillance
- The Code of Practice on Covert Human Intelligence Sources
- The Code of Practice on Accessing Communications Data
- <https://www.gov.uk/government/collections/ripa-codes>
- Lancashire County Council RIPA Guidance Document and work instructions
- Guidance material issued by the OSC and IOCCO.

9.6 Non-conformities identified as a result of the audit will be reported to the relevant Service Management Team. Action taken by local management should be reported back to the Audit team.

9.7 The cross Council audit report will be held within the Central Record.

9.8 The processing of prosecution reports by a service should have regard to compliance with RIPA where investigations include covert surveillance and/or the use of a CHIS and/or obtaining communications data.

10 Inspections by the Office of the Surveillance Commissioner (OSC) and the Interception of Communications Commissioner (IOCCO)

10.1 The Codes of Practice include a section dealing with inspection by the Commissioners. They impose a requirement to comply with requests and to disclose or provide information requested by the Commissioner to allow him to carry out his functions.

10.2 During inspection visits, the codes require certain authorisations to be drawn to the Inspector's attention. These being where the Authorising Officer has authorised an activity he is directly involved in and those where confidential material is sought or obtained.

10.3 A further inspection regime has been established by RIPA in relation to accessing communications data. This is undertaken by the Interception of Communications Commissioner. These inspections take place through NAFN, with queries raised individually with local authorities where necessary. Similar recourse to the Tribunal exists for complaints against the activities of the authority.

11 Complaints

11.1 An independent complaints procedure is provided by the legislation. Complaints can be made to:

The Investigatory Powers Tribunal
PO Box 33220
London
SW1H 9ZQ
Tel: 0207 035 3711
<http://www.ipt-uk.com/>

12 Management Records

12.1 The management files, authorisations/renewals/cancellations and Source Records **must be kept in a secure place with restricted access**. These files will provide the basis of the audits and be liable for inspection by the Office of the Surveillance Commissioners. **Originals of the authorisations (including refusals), reviews, renewals and cancellations, must also be provided to the Central Record. This is managed by the Director of Governance, Finance and Public Services.** Officers forwarding confidential material to the Central Record must ensure that it is forwarded by a secure method.

12.2 Security of the Central Record

The Central Record is to be held in a suitable locked cabinet, or secure electronic folder.

Report to the Leader of the County Council
Report submitted by: Head of Service - Procurement
Date: 5 February 2016

Part I

Electoral Divisions affected:
All

Social Value Policy and Framework (Appendix 'A' refers)

Contact for further information:
Rachel Tanner, (01772) 534904, Head of Service - Procurement
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Executive Summary

The draft Social Value Policy and Framework sets out the legal context for social value and the proposed approach for the County Council to deliver social value through its commissioning and procurement activities.

The aim of the policy is not to alter the commissioning and procurement processes, but to ensure that the County Council gives consideration to the wider impact of the service's delivery in line with the requirements of the Public Services (Social Value) Act 2012. The policy will enable the County Council to demonstrate more effectively how the choice of a supplier through a tendering process not only provides the most economically advantageous service, but one which also secures wider benefits for the community.

This is deemed to be a Key Decision and the provisions of Standing Order No. 25 have been complied with.

Recommendation

The Leader of the County Council is recommended to approve the Social Value Policy and Framework attached at Appendix 'A'.

Background and Advice

The Public Services (Social Value) Act 2012 came into force on 31st January 2013. It is now a legal obligation for local authorities and other public bodies to consider the social good that could come from the procurement of services before they embark upon it.

The County Council has been implementing the Act on an ad hoc basis. This policy provides an opportunity to deliver a cohesive yet flexible approach to generating

social value through public procurement and allows the County Council to demonstrate more effectively how this is being delivered in practice.

Consultations

N/A

Implications:

This item has the following implications, as indicated:

Risk management

Failure to approve the recommendation may potentially lead to difficulties for the County Council in demonstrating effectively how social value is being delivered through commissioning and procurement activity and compliance with the requirements of The Public Services (Social Value) Act 2012.

Legal

The requirements relating to social value set out in the legislation are subject to the procurement regime enshrined in the Public Contracts Regulations 2015. Where there is a potential for the two to conflict, the procurement obligations must take precedence. The policy must be applied in relation to tender exercises in such a way as to ensure that the fundamental requirements of proportionality and non-discrimination are met and that competition is not distorted. Thus, social value objectives which could be achieved as part of a contractual relationship with a contractor must not give rise to inappropriate requirements, nor should they directly or indirectly result in contractors from other member states or areas being disadvantaged. An example of the type of evaluation that could lead to challenge would be scoring a local contractor higher than one from another member state on the basis that its proximity to Lancashire will invariably reduce pollution.

List of Background Papers

Paper	Date	Contact/Tel
The Public Services (Social Value) Act 2012	2012	Rachel Tanner/ 01772 534904

Reason for inclusion in Part II, if appropriate

N/A

Appendix A

Draft Social Value Policy and Framework

1. Purpose

This policy sets out the legal context for social value and the approach Lancashire County Council will adopt to deliver social value through commissioning and procurement activities.

The framework sets out the expected outcomes for each objective and provides examples of how suppliers could contribute towards these outcomes.

2. Background and Scope

The Public Services (Social Value) Act 2012 came into force on 31st January 2013¹. It is now a legal obligation for local authorities and other public bodies to consider the social good that could come from the procurement of services before they embark upon it.

The aim of the Act is not to alter the commissioning and procurement processes, but to ensure that as part of these processes, councils give consideration to the wider impact of the service's delivery. It allows local authorities to, for example, choose a supplier under a tendering process who not only provides the most economically advantageous service, but one which secures wider benefits for the community.

The County Council has been implementing the Act on an ad hoc basis. However, this policy provides an opportunity to deliver a cohesive yet flexible approach to generating social value through public procurement.

The statutory requirements of the Public Services (Social Value) Act 2012 only apply to public service contracts above EU threshold. This policy statement sets out LCC's aims in this regard. In particular it seeks to:

- Set out a definition of social value
- Set out the priority policy objectives
- Set out a Social Value Framework

3. Defining Social Value

Social Value is the additional economic, social and environmental benefits that can be created when the County Council purchases a service from an outside organisation, above and beyond the value of the goods or services.

¹ The Cabinet Office announced a review of the Public Services (Social Value) Act 2012 in September 2014.

4. Social Value Objectives

The following objectives are proposed and reflect the definition of social value (set out in Section 3):

- **Promote training and employment opportunities for the people of Lancashire** – tackle unemployment and facilitate the development of skills
- **Raise the living standards of local residents** – working towards living wage, maximise employee access to entitlements such as childcare and encourage suppliers to source labour from within Lancashire
- **Build the capacity and sustainability of the voluntary and community sector**– practical support for local voluntary and community groups
- **Promote equity and fairness** – target effort towards those in the greatest need or facing the greatest disadvantage and tackle deprivation across the council
- **Promote environmental sustainability** – reduce wastage, limit energy consumption and procure materials from sustainable sources

5. How will Social Value be achieved in Lancashire County Council?

The incorporation of Social Value into its contracts will significantly help to deliver its strategic priorities and deliver added value for the County Council. Delivery of additional social value is therefore considered an objective for all council contracts above the appropriate OJEU threshold. Either 5% or 10% of the award criteria for contracts, which are awarded pursuant to a competitive process must be on social value, and assessed as set out below, unless otherwise agreed by the Procurement Board.

In order to determine whether 5% or 10% of the award criteria should be applied, the following need to be considered:

- additional impact of social value
- how many of the objectives set out in part 6 are met
- the area impacted (this recognises that ideally the impact should be county wide but also that Social Value delivered anywhere within Lancashire will have some beneficial impact on Lancashire).

	Additional impact of social value added	Objectives Met	Area impacted?
10%	Significant	Multiple	Potential for significant positive impact on communities with highest needs
5%	Some	At least two	Potential for some positive impact on communities with less significant needs

The needs of communities within Lancashire's 34 Service Planning Areas should be considered when determining whether to apply the 5% or 10% threshold.

Where the additional impact of social value added has the potential to provide significant additional impact, on multiple objectives and in communities with the highest needs (those where relevant indicators in area profiles are in the worst fifth or second worst fifth), the criteria for 10% will be met.

Where the additional impact of social value added has the potential to provide some additional impact of social value, on at least two objectives and in communities with less significant needs (those where relevant indicators in area profiles are in the middle fifth to best fifth), the criteria for 5% will be met.

The following table can be used to assist in identifying which indicators are most relevant to the social value outcomes we want to see.

Social Value Objective	Relevant Service Planning Area needs assessment indicators	Comment
Promote training and employment opportunities for the people of Lancashire	Educational attainment key stage 2 Educational attainment key stage 4 Percentage with no qualifications Working age benefits clients Young people not in employment, education or training	
Raise the living standard of local residents	Children living in poverty Median annual income	Use these indicators and the area needs assessments to determine whether there is the potential for significant positive impact on communities with highest needs
Build capacity and sustainability of the Voluntary and Community Sector	Activities limited a lot People providing 50+ hours unpaid care per week Proportion of pensioners living alone Geographic barriers to housing and services Wider barriers to housing and services Neighbourhood needs index (level of community safety need) Self reported wellbeing	Communities with the highest needs will have indicators which are in the worst fifth, or second worst fifth, of the Service Planning Areas for Lancashire.
Promote Equity and Fairness	Life expectance at birth (males) Life expectance at birth (females) Disability-free life expectancy males Disability-free life expectancy females	
Promote Environmental Sustainability	Households with no central heating Households in fuel poverty	

This approach means that if a service is to be delivered county-wide and there is significant additional impact of the social value added, it is very likely to meet the criteria for 10% of the award value. However, where services are targeted at smaller geographic areas, the criteria for 10% of award value may still be met provided there is the potential to deliver significant additional social value in areas where there are opportunities to meet significant needs through targeted interventions.

6. Social Value Framework

Objective	Outcomes: What are we trying to achieve?	What could this mean for suppliers? What could they deliver (Examples Only – this is NOT an exhaustive list)
<p>1.Promote training and employment opportunities for the people of Lancashire</p>	<p>Outcome 1: More local people in work.</p> <p>Link to Draft Corporate Strategy priorities :</p> <p>Support the Further Education sector to improve the employability of Lancashire's workforce;</p> <p>Develop an effective economic growth programme with an increased emphasis on our most deprived communities;</p> <p>Work with schools and families to narrow the gap in educational attainment from Key Stage 2 to Key Stage 4</p> <p>Deliver the Strategic Economic Plan for Lancashire.</p>	<ul style="list-style-type: none"> • Recruitment of local community • Recruitment of apprentices • Work experience for local community • Create x number of (new) jobs in the local economy • Create x number of traineeships (including apprenticeships) for local residents • Provide x number of days of meaningful work experience for local residents • Support x number of people back to work by providing career mentoring for job clubs, including mock interviews, CV advice, and careers guidance • Supporting young people into work by delivering employability support (e.g. CV advice, mock interviews, careers guidance) to x number of school and college students • Employ x number of ex-offenders (or other groups of people who typically face additional challenges in competing in the labour market).
	<p>Outcome 2: Thriving local businesses.</p> <p>Link to Draft Corporate Strategy priorities:</p> <p>Invest in Lancashire's town and city centres.</p>	<ul style="list-style-type: none"> • Commitment to support businesses in Lancashire, Support x number of new business start-ups by running practical workshops with enterprise clubs • Support the local economy by spending x% of total expenditure in the local supply • Support the local supply chain by spending x% of total expenditure within Lancashire

Objective	Outcomes: What are we trying to achieve?	What could this mean for suppliers? What could they deliver (Examples Only – this is NOT an exhaustive list)
	<p>Outcome 3: Responsible businesses that do their bit for the local community.</p> <p>Link to Draft Corporate Strategy priorities:</p> <p>Work in partnership with all other agencies to make local communities strong, self-reliant and cohesive.</p>	<ul style="list-style-type: none"> • Attract £x worth of inward investment into the county area • Secure positive profile for the County Council through x number of positive stories in the national media • Support the Fairtrade status by ensuring that x% of food products in the supply-chain are Fairtrade • Secure £x-worth of investment in, or in-kind contributions to, fuel poverty initiatives in Lancashire area
<p>2.Raise the living standard of local residents</p>	<p>Outcome 4: A Local workforce which is fairly paid and positively supported by employers.</p> <p>Link to Draft Corporate Strategy priorities:</p> <p>Promote the living wage;</p> <p>Support Lancashire Enterprise Partnership to improve the economy and reduce deprivation.</p>	<ul style="list-style-type: none"> • Work towards paying staff the Living Wage • Increase rates of pay for lowest-paid staff by x% • Improve the skills levels of existing staff by training x% of the workforce to NVQ Level 2/3/4 (for example) • Reduce average sickness absence by x% through an improved health, wellbeing and support package for staff • Identify all staff who are carers and ensure flexible working practices are implemented to support these responsibilities within x weeks of contract start date
<p>3.Build capacity and sustainability of the Voluntary and Community Sector</p>	<p>Outcome 5: An effective and resilient third sector</p> <p>Link to Draft Corporate Strategy priorities:</p> <p>Support communities in Lancashire to become self-resilient.</p>	<ul style="list-style-type: none"> • Contribute x number of hours of business planning support / financial advice / legal advice / HR advice to community and voluntary organisations through an Employer-Supported Volunteering scheme • Provide facilities for use by community and voluntary organisations for x number of hours per year • Work with community and voluntary organisations to create x number of new volunteering opportunities in Lancashire • Support local third sector organisations through the supply chain by spending x% of total expenditure with community and voluntary sector providers based in Lancashire

Objective	Outcomes: What are we trying to achieve?	What could this mean for suppliers? What could they deliver (Examples Only – this is NOT an exhaustive list)
<p>4.Promote Equity and Fairness</p>	<p>Outcome 6: A reduction in poverty, health and education inequalities.</p> <p>Link to Draft Corporate Strategy priorities:</p> <p>Help people to improve their physical and mental health through early assessment and treatment that enables them to live independently;</p> <p>Support families and carers in their choice of health and social care to help them maintain their independence;</p> <p>Protect our most vulnerable children and adults from avoidable harm.</p>	<ul style="list-style-type: none"> • Supporting young people into work by delivering employability support (e.g. CV advice, mock interviews, careers guidance) to x number of school and college students • Support prevention by running education and publicity campaigns with specific targets (e.g. support x number of staff / residents / service users to stop smoking / increase their physical activity / access money advice)

Objective	Outcomes: What are we trying to achieve?	What could this mean for suppliers? What could they deliver (Examples Only – this is NOT an exhaustive list)
<p>5.Promote Environmental Sustainability</p>	<p>Outcome 7: We are protecting our physical environment and contributing to climate change reduction.</p> <p>Link to Draft Corporate Strategy priorities:</p> <p>Invest in green infrastructure to make it easier and safer to cycle and walk to work, school and local services;</p> <p>Promote and protect Lancashire's natural environment;</p> <p>Support green energy solutions in Lancashire and reduce the County Council's own energy use;</p> <p>Maximise the diversion of waste from landfill.</p>	<ul style="list-style-type: none"> • Reduce the amount of waste generated by x% per year • Reduce carbon emissions by x% per year • Reduce overall energy consumption / water consumption by x% per year • Increase the use of renewable energy / community generated renewable energy as a proportion of total energy consumption by x% over the lifetime of the contract (without increasing overall energy consumption) • Include and improve green spaces within developments. • Support x number of households to better manage their energy demands through improvements in the fabric of their homes, bringing them out of fuel poverty and contributing to climate change goals

Report to the Cabinet Member for Children, Young People and Schools
Report submitted by: Head of Service School Improvement
Date: 8 February 2016

Part I

Electoral Divisions affected:
All

Determination of Relevant Area for Consultation on Admission Arrangements for Lancashire Maintained Schools and Academies for 2017/18, 2018/19 and 2019/20

Contact for further information:

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Executive Summary

The report provides details of the consultation within the County of Lancashire, representatives of the local Diocesan Church Education Authorities and the governing bodies of all Lancashire maintained schools, Free Schools and Academies on the establishing of the relevant area for consultation on admission arrangements.

This is deemed to be a Key Decision and the provisions of Standing Order No 25 have been complied with.

Recommendation

The Cabinet Member for Children, Young People and Schools is recommended to agree that the definition of the relevant areas remains unchanged for the 2017/18, 2018/19 and 2019/20 school years.

Background and Advice

The School Standards and Framework Act 1998 introduced a statutory requirement for each admission authority in an area to consult widely before determining their admission arrangements. Consultees include all admission authorities in the relevant area. Regulations made under the Act provide that each Local Authority (LA) may establish a relevant area or areas, within which the consultation would take place. The relevant areas established for the previous admissions round were as follows:

- (a) The administrative district in which the school is situated;
- (b) Any Voluntary Aided, Foundation School, Free School or Academy or neighbouring Local Authority which is outside the administrative district but which is within three miles for a secondary school or two miles for a primary school.

Relevant areas must be reviewed periodically and a consultation has recently taken place on the areas which should be defined for this purpose for the 2017/18, 2018/19 and 2019/20 admissions.

No responses were received by the Local Authority to this consultation.

Regulations require that each school that is its own admission authority must have a relevant area and that the area should include at least all primary and secondary schools within three miles of a secondary school and all primary schools within two miles of a primary school.

It is recommended that the definition of the County's relevant areas remains unchanged for these school years.

Consultations

Consultations have been held within the County, representatives of the local Diocesan Church/Education Authorities and the governing bodies of all Lancashire maintained schools and Academies.

Implications:

This item has the following implications, as indicated:

Risk management

If the Authority did not determine a relevant area then it would not be complying with statutory regulations.

Financial

There are no financial implications arising from this report.

List of Background Papers

Paper	Date	Contact/Tel
The Education (Relevant Areas for Consultation on Admission Arrangements) Regulations 1999 S.I. 1999/124	April 1999	Paul Bainbridge 01772 531656 Debbie Ormerod 01772 531878 Nan Hogg

01772 531540

School Improvement
Service

Reason for inclusion in Part II, if appropriate

N/A

Report to the Cabinet Member for Children, Young People and Schools
Report submitted by: Head of Service, School Improvement
Date: 8 February 2016

Part I

Electoral Divisions affected:
All

Determination of Admission Arrangements for Community and Voluntary Controlled Primary and Secondary Schools and Sixth Forms for the School Year 2017/18

(Appendices 'A', 'B', 'C' and 'D' refer)

Contact for further information:

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School Improvement Service

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Executive Summary

To determine the admission arrangements for community and voluntary controlled schools for the school year 2017/18.

This is deemed to be a Key Decision and the provisions of Standing Order No. 25 have been complied with.

Recommendation

The Cabinet Member for Children, Young People and Schools is recommended to approve :

(i) that the admission numbers for community and voluntary controlled primary schools, secondary schools and sixth forms for 2017/18 listed at Appendices 'A' and 'B' (which include the recommendations of the Director of Children's Services as listed at Appendix 'C') be determined;

(ii) that the criteria for admission to community and voluntary controlled primary schools, secondary schools and sixth forms for 2017/18 as listed at Appendix 'D' be agreed; and

(iii) that the admission numbers and criteria for admission set out at (a) and (b), together with the other information included on the Authority's website and in its admissions booklets, shall constitute the admission arrangements for 2017/18.

Background and Advice

The County Council is the admissions authority for community and voluntary controlled schools. In accordance with Sections 88A-Q of the School Standards and Framework Act 1998, as amended by the Education and Skills Act 2008 and regulations, the County Council is required to consult widely about the proposed admission arrangements for schools where it is the admissions authority. During Autumn Term 2015, the County Council consulted with the governors of community and controlled schools on the proposed arrangements for admission to those schools for the 2017/18 school year. The governors were invited to comment on the proposed admissions policy and admission number for their school. Further parties, including other admission authorities within the relevant area for each community and controlled school, were also consulted about these proposals. A full list of those consulted is included within this report.

The proposed admission numbers for community and voluntary controlled secondary schools, primary schools and sixth forms for the school year 2017/18 are listed at Appendices 'A' and 'B'.

The responses from governors and comments from officers to the proposed admission numbers for community and voluntary controlled secondary and primary schools are set out at Appendix 'C'. This summarises the recommendations of the Director of Children's Services.

The proposed admissions criteria for community and voluntary controlled secondary schools, primary schools and sixth forms for the school year 2017/18 are listed at Appendix 'D'. Where changes have been proposed, any responses from schools and officer comments are provided.

Consultations

- Governors of community and voluntary controlled schools
- Governors of voluntary aided and foundation, free schools and academies
- Other Local Education Authorities adjoining Lancashire
- Diocesan and Church Authority colleagues
- Capital Development and Asset Management Team
- Liaison and Compliance Team
- County Secretary and Solicitor's Group
- Public

Implications:

This item has the following implications, as indicated:

Risk management

If the admission arrangements are not determined by 28 February 2016, the Authority would not be complying with its statutory obligations.

**Local Government (Access to Information) Act 1985
List of Background Papers**

Paper	Date	Contact/Directorate/Tel
DfE – Admissions Code of Practice – "School Admissions Code – December 2014"		Paul Bainbridge/Nan Hogg, Directorate for Children and Young People, 01772 531655/531540
School Standards and Framework Act 1998		Paul Bainbridge/Nan Hogg, Directorate for Children and Young People, 01772 531655/531540
Education and Inspections Act 2006		Paul Bainbridge/Nan Hogg, Directorate for Children and Young People, 01772 531655/531540
Education and Skills Act 2008		Paul Bainbridge/Nan Hogg, Directorate for Children and Young People, 01772 531655/531540
The School Admissions (Admission Arrangements) (England) Regulations 2014		Paul Bainbridge/Nan Hogg, Directorate for Children and Young People, 01772 531655/531540
The School Admissions (Admission Arrangements and Co-ordination of Admission Arrangements) (England) Regulations 2012		Paul Bainbridge/Nan Hogg, Directorate for Children and Young People, 01772 531655/531540
Reason for inclusion in Part II, if appropriate		
N/A		

**PROPOSED ADMISSION ARRANGEMENTS FOR
COMMUNITY AND VOLUNTARY CONTROLLED PRIMARY SCHOOLS FOR 2017/2018**

IMPORTANT NOTE

Please note that the admission numbers for some schools may vary upon determination to support the extra demand for school places in the area.

SCHOOL No.	NAME OF SCHOOL	PROPOSED ADMISSION No. 2017/2018
01001	Bowerham Community Primary and Nursery School	60
01002	Dallas Road Community Primary School	60
01003	Willow Lane Community Primary School	30
01011	Ridge Community Primary School	30
01012	Ryelands Primary & Nursery School	60
01015	Moorside Primary School	90
01018	Nether Kellet Community Primary School	15
01022	Quernmore Church of England Vol. Cont Primary School	15
01023	Tatham Fells Church of England Vol. Cont Primary School	10
01025	Caton Community Primary School	10
01027	Wray with Botton Primary School	7
01032	Warton Archbishop Hutton's Primary School	26
01044	Carnforth North Road Community Primary School	30
01049	Great Wood Primary School	60
01050	Torrisholme Community Primary School	60
01051	Morecambe Bay Community Primary School	45
01052	West End Primary School	30
01053	Sandylands Community Primary School	60
01054	Lancaster Road Primary School	90
01058	Trumacar Nursery and Community Primary School	45
01060	Westgate Primary School	90
01061	Morecambe and Heysham Grosvenor Park Primary School	45
01062	Mossgate Primary School	30
02001	Carr Head Primary School	30
02002	The Breck Primary School [Poulton-le-Fylde]	35
02003	Carleton Green Community Primary School	45
02008	Fleetwood Chaucer Community Primary School	45
02013	Larkholme Primary School	45
02014	Fleetwood Charles Saer Community Primary School	45
02016	Shakespeare Primary School	60
02018	Fleetwood Flakefleet Primary School	60
02019	Preesall Carter's Charity (VC) Primary School	30

APPENDIX A

SCHOOL No.	NAME OF SCHOOL	PROPOSED ADMISSION No. 2017/2018
02027	Stalmine Primary School	15
02030	Stanah Primary School	60
02031	Thornton Cleveleys Northfold Community Primary School	30
02033	Thornton Cleveleys Baines Endowed [Vol. Cont] Prim School	30
02035	Thornton Primary School	20
02036	Thornton Cleveleys Royles Brook Primary School	45
02038	Nateby Primary School	13
02039	Forton Primary School	15
02049	Garstang Community Primary School	30
02051	Staining Church of England VC Primary School	35
02052	Thornton Cleveleys Manor Beach Primary School	45
04036	Freckleton Strike Lane Primary School	30
04039	Kirkham and Wesham Primary School	30
04043	Weeton Primary School	30
04044	Lytham St Anne's Mayfield Primary School	60
04045	Clifton Primary School	35
04046	Lytham St Anne's Ansdell Primary School	35
04052	Lytham Hall Park Primary School	60
06002	Brookfield Community Primary School	27
06604	Deepdale Community Primary School	90
06005	Eldon Primary School	30
06008	Brockholes Wood Community Primary School	35
06009	Frenchwood Community Primary School	45
06010	Preston Grange Primary School	30
06011	Preston Greenlands Community Primary School	30
06012	Holme Slack Community Primary School	30
06014	Ingol Community Primary School	30
06016	Moor Nook Community Primary School	30
06019	Ribbleton Avenue Infant School	70
06020	Ribbleton Avenue Methodist Junior School	70
06021	The Roebuck School	60
06031	Preston St Stephen's Church of England Primary School [VC]	45
06033	Ashton Primary School	30
06035	Preston Fishwick Primary School	15
06037	Lea Community Primary School	30
06040	Catforth Primary School	10
06041	Sherwood Primary School	60
06042	Cottam Primary School	30
06050	Goosnargh Whitechapel Primary School	15
06055	Kennington Primary School	35

APPENDIX A

SCHOOL No.	NAME OF SCHOOL	PROPOSED ADMISSION No. 2017/2018
06057	Fulwood and Cadley Primary School	45
06058	Harris Primary School	30
06060	Queen's Drive Primary School	60
06062	Pool House Community Primary School	25
06064	Brabin's Endowed School [VC]	15
06071	Longsands Community Primary School	30
07005	Higher Walton Church of England Primary School [VC]	17
07007	Bamber Bridge St Aidan's Church of England Primary School [VC]	24
07009	Lostock Hall Community Primary School	60
07012	Walton-le-Dale Primary School	60
07013	Coupe Green Primary School	20
07015	Leyland St Andrew's Church of England Infant School [VC]	70
07016I	Leyland Methodist Infant School	70
07016J	Leyland Methodist Junior School	70
07019	Woodlea Junior School	65*
	* considered; remain the same at present - remains under consideration	
07020	Lever House Primary School	37
07024	Northbrook Primary School	30
07025	Seven Stars Primary School	30
07026	Moss Side Primary School	37
07029	Farington Primary School	30
07030	Longton Primary School	30
07037	Little Hoole Primary School	30
07040	Penwortham Middleforth Church of England Primary School [VC]	30
07041	Howick Church of England Primary School [VC]	15
07043	Penwortham Primary School	30
07044	Whitefield Primary School	60
07046	Kingsfold Primary School	30
07047	Penwortham Broad Oak Primary School	30
08001	Burscough Bridge St John's Church of England Prim School [VC]	30
08002	Burscough Bridge Methodist [Voluntary Controlled] Prim School	12
08004	Ormskirk Lathom Park Church of England Primary School [VC]	10
08006	Westhead Lathom St James' Church of England Primary School [VC]	12
08009	Ormskirk Asmall Primary School	20
08011	Ormskirk Church of England Primary School [VC]	60
08014	Ormskirk West End Primary School	30
08016	Burscough Village Primary School	30
08018	Bickerstaffe [Voluntary Controlled] Church of England School	15
08019	Aughton Town Green Primary School	50

APPENDIX A

SCHOOL No.	NAME OF SCHOOL	PROPOSED ADMISSION No. 2017/2018
08020	Aughton Christ Church C/E Vol Controlled Primary School	30
08021	Aughton St Michael's Church of England Primary School	30
08023	Holmeswood Methodist School	6
08024	Richard Durnings Endowed Primary School Bispham	15
08027	Scarisbrick St Mark's Church of England Primary School [VC]	15
08029	Pinfold Primary School, Scarisbrick	7
08033	Holland Moor Primary School, Skelmersdale	60
08034	Cobbs Brow School	40
08038	Skelmersdale Trinity C/E/Methodist Primary School [VC]	30
08040	Skelmersdale Crow Orchard Primary School	26
08043	Little Digmoor Primary School	20
08046	Hillside Community Primary School	30
08054	Delph Side Community Primary School	30
08063	Crawford Village Primary School	10
08064	Wrightington Mossy Lea Primary School	7
08071	Tarleton Community Primary School	60
08076	Banks Methodist Primary School [VC]	10
08077	Banks St Stephen's Church of England Primary School [VC]	30
08078	Brookfield Park Primary School	30
08079	Woodland Community Primary School	50
09002	Duke Street Primary School	50
09003	Highfield Primary School	45
09010	Gillibrand Primary School	30
09015	Buckshaw Primary School	30
09022	Adlington Primary School	20
09024	Lancaster Lane Community Primary School	30
09025	Clayton-le-Woods Manor Road Primary School	36
09026	Clayton-le-Woods Westwood Primary School	30
09028	Anderton Primary School	30
09031	Brindle Gregson Lane Primary School	30
09039	Coppull Primary School	45
09045	Euxton Primrose Hill Primary School	60
09050	Balshaw Lane Community Primary School	45
09052	Eccleston Primary School	30
09053	Clayton Brook Primary School	30
09062	Abbey Village Primary School	15
09063	Withnell Fold Primary School	14
11004	Accrington Huncoat Primary School	30
11005	Accrington Hyndburn Park Primary School	75
11013	Accrington St Peter's Church of England Primary School [VC]	30

APPENDIX A

SCHOOL No.	NAME OF SCHOOL	PROPOSED ADMISSION No. 2017/2018
11014	Accrington Spring Hill Primary School	60
11015	Accrington Woodnook Primary School	40
11018	Oswaldtwistle Hippings Methodist Primary School [VC]	30
11020	Oswaldtwistle St Andrew's Church of England Primary School [VC]	45
11024	Oswaldtwistle West End Primary School	30
11025	Oswaldtwistle Moor End Community Primary School	30
11029	Clayton-le-Moors Mount Pleasant Primary School	60
11042	Great Harwood Primary School	45
11045	Rishton Methodist School [VC]	30
11055	Clitheroe Brookside Primary School	30
11056	Clitheroe Edisford Primary School	30
11057	Clitheroe Pendle Primary School	50
11061	Gisburn Primary School	20
11064	Read St John's Church of England Primary School [VC]	30
11065	Sabden Primary School	15
11070	Barrow Primary School [VC]	20
12001	Briercliffe Primary School	45
12002	Worsthorne Primary School	30
12005	Padiham Green Church of England Primary School [VC]	30
12006	Padiham Primary School	45
12011	Hapton Church of England/Methodist Primary School [VC]	18
12012	Barden Primary School	60
12013	Burnley Brunshaw Primary School	60
12020	Burnley Heasandford Primary School	90
12022	Burnley Ightenhill Primary School	60
12023	Burnley Lowerhouse Junior School	60
12025	Rosegrove Infant School	60
12035	Burnley Stoneyholme Community Primary School	60
12037	Burnley Whittlefield Primary School	30
12039	Burnley Casterton Primary School	40
12041	Rosewood Primary School	60
12042	Cherry Fold Community Primary School	60
12043	Burnley Springfield Community Primary School	30
13001	Bradley Primary School	60
13007	Lomeshaye Junior School	90
13010	Nelson Walverden Primary School	60
13011	Nelson Whitefield Infant School and Nursery Unit	90
13012	Marsden Community Primary School	60
13016	Barrowford School	60
13019	Blacko Primary School	15

SCHOOL No.	NAME OF SCHOOL	PROPOSED ADMISSION No. 2017/2018
13023	Roughlee Church of England Primary School [VC]	7
13024	Higham St John's Church of England Primary School [VC]	20
13028	Laneshaw Bridge Primary School	30
13029	Lord Street Primary School, Colne	60
13030	Colne Park Primary School	60
13031	Colne Primet Primary School	30
13033	West Street Community Primary School	30
13034	Trawden Forest Primary School	30
13036	Reedley Primary School	60
13040	Barnoldswick Church of England VC Primary School	60
13041	Barnoldswick Coates Lane Primary School	30
13042	Barnoldswick Gisburn Road Community Primary School	30
13046	Kelbrook Primary School	15
13048	Salterforth Primary School	15
13049	Earby Springfield Primary School	30
14001	Bacup Britannia Community Primary School	30
14002	Bacup Thorn Primary School	45
14003	Northern Primary School	30
14005	Sharneyford Primary School	10
14008	Bacup St Saviours Community Primary School	15
14011	Bacup Holy Trinity Stacksteads C/E Primary School [VC]	35
14015	St Paul's Church of England Primary School, Rawtenstall [VC]	40
14018	St Mary's Rawtenstall Church of England Primary School [VC]	30
14019	Crawshawbooth Primary School	45
14022	Waterfoot Primary School	45
14024	Newchurch St Nicholas Church of England Primary School [VC]	30
14026	Balladen Community Primary School	30
14027	Water Primary School	20
14030	Broadway Primary School	30
14031	Helmshore Primary School	58
14038	Edenfield Church of England Primary School [VC]	25
14039	Stubbins Primary School, Ramsbottom	30
14040	St Bartholomew's Church of England Primary School [VC]	25
14042	Whitworth Tonacliffe Primary School	45

IMPORTANT NOTE

Please note that the admission numbers for some schools may vary upon determination to support the extra demand for school places in the area.

**PROPOSED ADMISSION NUMBERS FOR
 COMMUNITY AND VOLUNTARY CONTROLLED SECONDARY SCHOOLS & YEAR 12 PLACES - 2017/18**
IMPORTANT NOTE

Please note that the admission numbers for some schools may vary upon determination to support the extra demand for school places in the area.

SCHOOL No.	NAME OF SCHOOL	PROPOSED ADMISSION No. 2017/18
01108	Heysham High School Sports College	220
01109	Morecambe Community High School, Specialist College for Maths and Computing	260
01110	Carnforth High School	132
01113	Central Lancaster High School	150
02101	Millfield Science and Performing Arts College	170
04115	Carr Hill High School and Sixth Form Centre	250
06103	Broughton High School	180
06104	Ashton Community Science College	160
06115	Longridge High School – A Maths and Computing College	165
07101	Balshaw's Church of England High School	185
07104	Wellfield High School	166
07107	Walton-le-Dale Arts College and High School	157
07111	Penwortham Girls' High School	155
08104	Burscough Priory Science College	154
08105	Up Holland High School – A Specialist Music, Mathematics and Computing College	180
08115	Ormskirk School	250
09101	Southlands High School – A Specialist Technology College	220
11101	Norden High School and Sports College	135
11102	The Hollins Technology College	158
11105	Rhyddings Business and Enterprise School	230
11113	Ribblesdale High School	255
12111	Hameldon Community College	150
13103	West Craven High School	140
13107	Park High School	186
13110	Marsden Heights Community College	210

SCHOOL No.	NAME OF SCHOOL	PROPOSED ADMISSION No. 2017/18
13111	Pendle Vale College	210
14101	Alder Grange Community and Technology School and Sixth Form	135
14107	Whitworth Community High School	130
14108	Fearns Community Sports College	210
14109	Haslingden High School & Sixth Form	270

PROPOSED ADMISSION NUMBERS FOR COMMUNITY AND VOLUNTARY CONTROLLED LANCASHIRE SIXTH FORM PLACES 2017/18

SCHOOL No.	NAME OF SCHOOL	PROPOSED ADMISSION No. 2017/18
01108	Heysham High School Sports College	120
01109	Morecambe Community High School, Specialist College for Maths and Computing	175
01110	Carnforth High School	75
01113	Central Lancaster High School	75
04115	Carr Hill High School and Sixth Form Centre	120
06104	Ashton Community Science College	80
08115	The Sixth Form College At Ormskirk School	160
12115	Thomas Whitham Sixth Form	300
14101	Alder Grange Community and Technology School and Sixth Form	150
14109	Haslingden High School & Sixth Form	150

RESPONSES TO THE CONSULTATION ON ADMISSION NUMBERS

Governors were consulted on the proposed admission numbers for their schools for 2017/18 school year. The requests of the governors and background information are provided below.

Admission numbers are set by reference to the school's net capacity. In primary schools, the net capacity is calculated on the basis of the number and size of teaching spaces designated as 'class-bases'. In secondary schools, it is based on the number, size and type of teaching spaces and the age range of the school.

The net capacity formula provides a maximum and minimum number of workplaces, to guide the setting of the admission number. The formula produces an indicated admission number. It is permitted to set an admission number higher or lower than the indicated admission number.

a) SECONDARY

District 6 - Preston Longridge High School – 06/115

Current Admission Number	=	158
Indicated Admission Number	=	165
Proposed Admission Number	=	158
Governors' Proposal	=	165

Comments made by school:

The school has maximum workplaces at 825 within its current net capacity assessment. This means that it can accommodate 165 pupils per year group.

The school was oversubscribed for 2015-16 and demand is projected to continue into future years with the planned development of a large number of new homes in the Longridge area.

The Longridge Town Council website report that there are currently planning applications in progress for between 1,595 and 1,895 houses in Longridge and the surrounding area. There is ongoing liaison with the School Planning Team to look at how these new housing developments and consequent increases in the pupil population will impact on the school's capacity in the longer term.

Officer Comment:

For September 2015 intakes the school received 331 applications for 158 available places (including 169 first preferences). For September 2016 intakes the school has received 380 applications for 158 available places (including 170 first preferences).

The trend for higher numbers of applications has therefore started and house build and

additional pupils in the area will sustain this for the future. The school's current net capacity does confirm enough teaching space for 165 pupils per year group.

Recommendation:

It is recommended that this school's PAN is increased from 158 to 165 for September 2017.

**District 13 - Pendle
West Craven High School – 13/103**

Current Admission Number	=	165
Indicated Admission Number	=	165
Proposed Admission Number	=	165
Governors' Proposal	=	140

Comments made by school:

The Council's Construction and Programming Team have confirmed that the whole school has now been designed to accommodate 700 students This follows refurbishment which included the demolition of an entire block. This equates to 140 pupils per year for Years 7 to 11 as an 11-16 school. To have an admission number greater than this would run the risk of the school being over populated and breaching Health & Safety guidelines within a couple of years.

Officer Comment:

Building work (refurbishment and improvements) did incorporate removing an entire block from the school. The former net capacity assessment had a minimum - maximum range of places from 823 to 915 which produced an indicated admission number at 165 (the same as the current published admission number).

The building programme was always working towards a school with a lower net capacity range and it was intended to reduce the IAN and PAN to 140. The net capacity measure is being re-assessed to reflect the changes.

The numbers on roll at the school in years 7 to 11 (at October 2015 census) were:- 135 - 110 - 97 - 93 - 82. The current number at 165 has therefore not been reached for some years. For September 2016 intakes the school has received 211 applications for 165 available places (these include only 110 first preferences).

Recommendation:

It is recommended that this school's PAN is lowered from 165 to 140 for September 2017.

b) PRIMARY

District 6 – Preston

The Grange Primary School – 06/010

Current Admission Number	=	25
Indicated Admission Number	=	25
Proposed Admission Number	=	25
Governors' Proposal	=	30

Comments made by school:

The Local Authority and school have agreed to build an additional classroom, due to be completed October 2016, in order to increase the capacity of the school and meet growing demand in the Ribbleton area.

The additional classroom will mean that there are 7 classrooms and that the school will be able to operate as a single form entry establishment. The classroom build is being funded by the Local Authority.

The Governors are therefore happy to increase the published admission number from 25 to 30. They are confident that there will be capacity within the building to accommodate this increase in pupil numbers. This would increase the school's overall capacity from 150 at present to 210 following the completion of the additional classroom.

Officer Comment:

The new classroom will mean that 7 teaching bases will be available (one for each year group).

It is logical therefore to increase the published admission number from 25 to 30. This also facilitates adherence to infant class size requirements in key stage 1 (reception, years 1 and 2).

Recommendation:

It is recommended that this school's PAN is increased from 25 to 30 for September 2017.

District 7 – South Ribble

Woodlea Junior School - 07/019

Current Admission Number	=	65
Indicated Admission Number	=	56

Proposed Admission Number = 65
Governors' Proposal = 65

Comments made by school:

The governors of Woodlea Junior School are content with an admission number of 65 for the 2017/18 school year.

There is however an issue regarding Leyland St Andrew's Infant School which has close links to Woodlea Junior. Almost all the year 2 children from St. Andrew's have traditionally transferred automatically to Woodlea each September. There is a difference however between the admission numbers of the two schools. Woodlea has an admission number of 65 and St. Andrew's has an admission number of 70. In the past this has never been an issue as St. Andrew's has not had more than 65 pupils transferring. This year however approximately 70 pupils are due to transfer to Woodlea and this trend looks like continuing as number rise in the future.

Whilst the governors and head teacher of Woodlea are prepared to admit the additional children for September 2016, particularly as parents have not been alerted to the potential difficulties, Woodlea cannot continue to admit additional pupils in future years.

An assessment of the accommodation at Woodlea was undertaken in October 2013 by the School Planning Team. The net capacity was calculated as 227 giving an indicated admission number of 56. This is well below the current published admission number. It was found that whilst the school had sufficient classes to support the admission number of 65, many of the classrooms were small. The School Planning Team considered that it was extremely unlikely that the school could manage an intake of 70.

The governors are mindful of the close link with St. Andrew's School and would wish where possible to continue to ensure that all those children wishing to transfer to Woodlea can be accommodated. The school is conscious however that it would simply be unable to continue to admit 70 pupils without the provision of additional accommodation.

The governors would ask therefore that the Authority give some urgent consideration to the provision of additional accommodation at Woodlea Junior School to accommodate the number of pupils who are likely to be transferring from St. Andrew's Infant School in future years.

If it is not possible to provide additional accommodation at Woodlea School then urgent steps need to be taken to ensure that the appropriate admission policy for the School is applied for admissions for September 2017 to match the intake to the available places.

Efforts also need to be made to alert parents of children currently at St. Andrew's that transfer to Woodlea School will no longer be automatic and parents will be expected to complete a school preference form prior to transfer.

Officer Comment:

The published admission number for Woodlea Junior School has been set at 65 for some time and was at this number in 2002 (prior to net capacity measures being introduced).

The current net capacity measure gives a range of available places from 204 to 227 (which equates to a published admission number between 51 and 56). The school has therefore admitted over its assessed range of teaching places for some years.

It is recognised that in Lancashire there are 6 infant schools which have very close links to their 6 associated junior schools. Historically children have automatically transferred from the infant school to the associated junior school (where parents wanted this to happen).

Legally however parents with children on roll at the infant schools have no automatic right to transfer to a year 3 place at the associated junior school (where the schools are distinctly separate - have their own governing body). Automatic transfers have historically happened because low pupil numbers have facilitated this or because occasionally the junior school has agreed to exceed number to accommodate all year 3 transfer requests.

An increase in pupil numbers and, in this case, the difference between the infant school number (set at 70) and the junior school number (set at 65) have required greater focus on the situation this year and for the future.

Had the junior school decided to apply their published number at 65 then the Local Authority would have undertaken a formal admission round for the Year 3 transfers. All parents would have been given the opportunity to apply for year 3 places (3 school preferences per applicant). Then the published admission arrangements would have been applied in allocating up to 65 places at Woodlea Junior School - with alternative offers for any residual applications.

The offer to implement this exercise was made to Woodlea Junior School but they reconsidered the matter and decided to exceed number to accommodate all year 3 requests from St Andrew's Infant School in September 2016.

In addition the Local Authority has consulted in autumn term 2015 on formalising and explaining more clearly the infant to junior transfer process (to parents and for the schools involved). A letter and information was sent direct to each infant and junior head teacher ahead of formal consultation.

In future additional information will be in Lancashire's statutory scheme to co-ordinate admissions throughout the County; and also in additional information for parents (website and hard copy).

At present any decision to increase the published admission number at Woodlea Infants School would require an assessment of the current building (s) and teaching space, suitability and a broader view of current and future demand in the planning area as a whole.

At the October 2015 census there were around 15 available year 3 places in nearby primary schools (those within about 1,000 meters - straight line - of Woodlea). There is therefore some capacity to accommodate any surplus transfers from St Andrew's CE Infants at this time. Clearly however the views of parents and children will be mainly that they wish to continue in a junior school on the same site with their established peer group.

Recommendation:

It is recommended that the school's PAN remain at 65 at present.

Also that this matter is referred to the Schools Development Group in January 2015 to initiate discussion / consideration around the need to expand Woodlea Junior School in relation to the wider need for additional places (or otherwise) in this locality.

District 8 – West Lancashire

Asmall Primary School - 08/009

Current Admission Number	=	25
Indicated Admission Number	=	22
Proposed Admission Number	=	25
Governors' Proposal	=	20

Comments made by school:

The school would like to reverse the original decision to expand from 20 to 25 children per cohort in September 2017.

Pupil numbers in school have increased significantly over the past 3 years and the school has re-arranged its accommodation to suit single age classes.

It now uses every available space in school for teaching accommodation and some of these spaces would not be suitable for class sizes of 25 or more pupils. The school would therefore like a published admission number of 20 to be reinstated. This will allow continued single age classes. The School Planning Team have confirmed that the net capacity assessment has been updated to 157 places. The projected pupil numbers in the area shows a reduction in numbers over the next few years and so a reduction in the PAN would not have a great impact.

Officer Comment:

The net capacity assessment of available teaching areas has been updated and now indicates 157 available places (equates to a published admission number at 22). Admission authorities should however set numbers to reflect and manage infant class size requirements for no more than 30 pupils in a class with a single qualified teacher. A number at 20 would therefore facilitate this requirement.

Current pupil number forecasts show that in 5 years' time there are surplus places in the planning area for this school. The School Planning Team do not have any objections to the proposed reduction.

If in the longer term the situation changes and there is increased demand for primary places in the area it will be necessary to once again consider increasing the published admission number to help to meet local demand.

Recommendation:

It is recommended that this school's PAN is lowered from 25 to 20 for September 2017.

**PROPOSED CRITERIA FOR ADMISSION TO COMMUNITY AND VOLUNTARY CONTROLLED
PRIMARY SCHOOLS, SECONDARY SCHOOLS & SIXTH FORMS - 2017/2018**

The criteria which are to be used to allocate places when a community or voluntary controlled school is oversubscribed are described below.

SECONDARY

An admission number will be published showing the maximum number of pupils that the school will admit in the Autumn Term 2017. Parents are given the opportunity to express three preferences for a secondary school. Published criteria are used to decide which children should be offered the available places. In secondary schools an equal preference system operates, whereby the three parental preferences are given equal status. Each preference will be considered equally against the admissions criteria.

When a secondary school is oversubscribed the following priorities apply in order:

1. Looked after children and those who have been previously looked after, (see note (x) below), then
2. Children for whom the Local Authority accepts that there are exceptional medical, social or welfare reasons which are directly relevant to the school concerned. (See note (i) below) then
3. Children living within the school's geographical priority area with older brothers or sisters attending the school when the younger child will start, (see note iii below).
4. Children living within the school's geographical priority area, then
5. Children living outside the school's geographical priority area with older brothers or sisters still attending the school when the younger child will start (See note (iii) below) then
6. Children living outside the school's geographical priority area (see note (iv) below).

Notes

- (i) The medical, social and welfare criterion will consider issues relevant to the child and/or the family. This category may include children without a statement who have special needs.
- (ii) As required by law, all children with a Statement of Special Educational Needs/EHC naming a school will be admitted before the application of the over-subscription criteria. Children who have a statement for special needs have their applications considered separately.

- (iii) Brothers and sisters includes step children, half brothers and sisters, fostered and adopted children living with the same family at the same address (consideration may be given to applying this criterion to full brothers and sisters who reside at different addresses). The priority does not apply to siblings whose brothers and sisters transferred into a sixth form at 16+.
- (iv) The distance criterion which will be used as the tie breaker if there is oversubscription within any of the admission criteria is a straight line (radial) measure. If the Local Authority is unable to distinguish between applicants using the published criteria (eg twins or same block of flats) places will be offered via a random draw.

The distance measure is a straight line (radial) measure centre of building to centre of building.

- (v) A child's permanent address is the one where he/she normally lives and sleeps and goes to school from. Proof of residence may be requested at any time throughout the admission process, (including after a child has accessed a school place).
- (vi) The Local Authority will keep waiting lists for all Lancashire primary schools until 31 August 2017. These are kept in priority order using the school's published admission criteria. From 1 September 2017 for one school term only waiting lists will be retained by individual admission authorities (the Local authority for community and voluntary controlled schools and individual voluntary aided and trust schools will each retain their own list).
- (vii) Children will not normally be able to start school other than at the beginning of the term unless they have moved into the area or there are exceptional circumstances.
- (viii) Applications for school places which are received late will not necessarily be dealt with at the same time as those received by the set deadline. The reasons for a late application may be requested and where these are not exceptional the relevant admission criteria will be initially applied to all others received on time. The late application will be dealt with after this process.

Application forms received after the published closing date, will only be considered at that time if the following conditions apply:

- (a) if the number of preferences received for the school is below the published admission number or:
- (b) there are extenuating circumstances justifying a late application.

These may include:

- (a) parents moving into the County after the closing date;
- (b) parent/carer illness which required hospitalisation for the major part of the

period between the publication of the composite prospectus and the closing date for applications.

- (ix) Where a child lives with one parent for part of the week and another for the rest of the week only one address will be accepted for a school admission application. This will normally be the one where the child wakes up for the majority of school days (Monday to Friday). Proof of residence may be requested at any time throughout the admissions process.
- (x) the highest priority **must** be given to looked after children¹ and children who were looked after, but ceased to be so because they were adopted² (or became subject to a residence order³ or special guardianship order⁴). Further references to previously looked after children in the Code means children who were adopted (or subject to residence orders or special guardianship orders) immediately following having been looked after.

The Authority has a duty to co-ordinate admission arrangements for all Lancashire maintained schools. The Authority will ensure that all Lancashire parents whose children are transferring to reception or Year 7 classes, receive the offer of one secondary or primary school place on the agreed date.

North Lancashire Schools

GEOGRAPHICAL PRIORITY AREAS

NORTH LANCASHIRE AREA

(Please note that where reference is made to parishes, these refer to civil parishes not ecclesiastical parishes.)

Lancaster Secondary Schools

Carnforth High School – [A Specialist 11 to 18 Science College] ~ (01/110)

Parishes of Silverdale, Yealand Redmayne, Yealand Conyers, Warton, Priest Hutton, Borwick, Arkholme with Cawood, Whittington, Burrow with Burrow, Leck, Ireby, Tunstall, Cantsfield, Carnforth, Bolton le Sands, Over Kellet, Nether Kellet, Halton with Aughton, Gressingham, Cloughton, Hornby with Farleton, Melling with Wrayton, Wennington, Roeburndale, Wray with Botton and Tatham.

Heysham High School Sports College (01/108)

¹ A 'looked after child' is a child who is (a) in the care of a local authority, or (b) being provided with accommodation by a local authority in the exercise of their social services functions (see the definition in section 22(1) of the Children Act 1989).

² Under the terms of the Adoption and Children Act 2002. See section 46 (adoption orders).

³ Under the terms of the Children Act 1989. See section 8 which defines a 'residence order' as an order settling the arrangements to be made as to the person with whom the child is to live.

⁴ See section 14A of the Children Act 1989 which defines a 'special guardianship order' as an order appointing one or more individuals to be a child's special guardian (or special guardians).

Parishes of Slyne with Hest, Lancaster (part*) Morecambe and Heysham, Heaton with Oxcliffe, Middleton and Overton.

*** From the border with Slyne with Hest parish follow the railway line to the river and then follow the river to the Heaton with Oxcliffe parish boundary.**

Morecambe Community High School – Specialist College for Maths & Computing (01/109)

Parishes of Slyne with Hest, Lancaster (part*) Morecambe and Heysham, Heaton with Oxcliffe, Middleton, Overton and Skerton.

*** From the border with Slyne with Hest parish follow the railway line to the river and then follow the river to the Heaton with Oxcliffe parish boundary.**

Central Lancaster High School - A Specialist Visual and Performing Arts College ~ (01/113)

Parishes of Thurnham, Lancaster (part*), Scotforth, Quernmore, Ellel, Caton with Littledale, Cockerham and Over Wyresdale.

(Ellel, Cockerham and Over Wyresdale are in the Skerton and Central Lancaster area and also in the Garstang High area.)

*** Up to the railway and river boundaries between Slyne with Hest and Oxcliffe parishes.**
[amended for 2016/17]

Wyre Secondary Schools

Millfield Science and Performing Arts College (02/101)

Parishes of Fleetwood and Thornton Cleveleys (part*) and Hambleton (shared with Hodgson).

*** The cut off point being Amounderness Way from the Singleton parish boundary across to the Blackpool Borough boundary.**

Fylde Secondary Schools

Statutory Scheme to Co-ordinate Secondary School Admissions

Geographical Priority Area (GPA)

Carr Hill High School & Sixth Form Centre

Plans are proceeding for a new housing development of around 1,400 properties on the Whyndyke Farm site adjacent to the M55 motorway and bordering (part in) the Blackpool

area. Final agreement to this development is still under consideration by Fylde and Blackpool Borough Councils.

When this proceeds it will be situated in Little Marton on the A583 adjacent to junction 4 of the M55 (map attached). The vast majority of this site is within Lancashire but the timetable for approval and development of housing has not been managed by Lancashire County Council.

Lancashire has a statutory duty to co-ordinate of secondary admissions for all schools and academies within its area. Lancashire ensures that all families are situated within a defined GPA or intake area for at least one school or academy. This gives children some increased priority for admission to that particular establishment.

In areas where annual intakes have historically been shared, or where the location is outlying, there may be overlap. Part of a GPA can be shared between schools and academies - and this does already happen in parts of Lancashire.

In this case the Whyndyke Farm site is already included within the GPA for Lytham St Annes Technology and Performing Arts College - though there have never been residential properties on site from which parents could apply. This is a foundation school and the governing body are responsible for admissions.

The new houses on this site will be situated nearer to other Lancashire secondary schools in the Poulton le Fylde area - but these are unlikely to have available places and there is no safe walking route for access. They will also be nearer to St Georges CEP High School in Blackpool and other Blackpool schools.

The intention for the future is to retain the Whyndyke Farm site within the GPA for Lytham St Annes Technology and Performing Arts College and to also add this to the GPA for Carr Hill High and Sixth Form Centre.

This will allow parents who, in future, express preferences for either school to have some increased priority for admission to both. This will not prevent their free expression of school and academy preferences including for options in Poulton le Fylde and in the Blackpool area.

Lancashire intends to implement this proposed change for 2017 or 2018 school intakes depending on the housing development timetable (which Lancashire does not manage). The implementation of the small shared area of GPA will depend on housing development getting the necessary approvals and then the building timetable and families actually becoming resident on site.

Comments received in relation to this proposal were:

Mr A Waller - head teacher at Carr Hill High: *the school support this proposal. Although it is situated farther from the Whyndyke site than Lytham St Annes High the route to Carr Hill is more straightforward therefore the proposal does make sense. The school would however like to liaise with the local authority about accommodation if the new build attracts additional numbers of pupils (science laboratories were specifically mentioned in his response).*

Mr PS Wood - Head teacher at Lytham St Annes High: *concerns about no safe walking route or public transport from Whyndyke to the school. This may lead to parents having to use cars so exacerbating traffic and safety issues at the start and end of the school day. Also he points out the proximity of Poulton le Fylde area schools to Whyndyke compared to Lytham St Annes High.*

Officer response: *the comment from Carr Hill about accommodation has been provided for information at this time to the School Planning Manager. In relation to the comments from Lytham St Annes High the potential transport and travel issues are noted. These would apply to some degree in relation to all Lancashire secondary school and academy options for the Whyndyke development. There are already other parts of this school's GPA situated in rural Fylde (FY8 postcode) with similar transport factors. This situation applies equally in other larger GPAs for some other Lancashire secondary school and academies (eg in the Lancaster and Ribble Valley areas). Having logistical difficulties associated with transport on the periphery of a GPA in relation to secondary school access is unavoidable. This proposal does however seek to prioritise two schools for the Whyndyke development. This will allow the families concerned higher priority for admission should their preferred direction of travel be towards Lytham St Annes or towards the Kirkham / Preston / M55 areas.*

Carr Hill High School & Sixth Form Centre ~ (04/115)

Parishes of Weeton with Preese, Greenhalgh with Thistleton, Medlar with Wesham, Treales Roseacre and Wharles, Kirkham, Ribby with Wrea, Bryning with Warton, Freckleton and Newton with Clifton.

South Lancashire Schools

GEOGRAPHICAL PRIORITY AREAS SOUTH LANCASHIRE AREA

(Please note that where reference is made to parishes, these refer to civil parishes not ecclesiastical parishes.)

Preston Secondary Schools

Longridge High School – A Maths and Computing College - (06/115)

Parishes of Chipping, Goosnargh, Thornley with Wheatley, Whittingham, Haighton, Grimsargh, Longridge, Hothersall, Ribchester and Dutton.

Broughton High School - (06/103)

Parishes of Barton, Woodplumpton, Broughton and Inskip with Sowerby.

(Inskip with Sowerby is in both Broughton and Garstang High School areas).

Ashton Community Science College - (06 / 104)

Preston and Lea.

South Ribble Secondary Schools

Penwortham Girls' High School - (07/111)

Parishes of Hutton, Longton, Little Hoole, Much Hoole and Penwortham. Also the Broadgate area following the railway line (initially north then bearing west) from the intersection of the River Ribble with South Meadow Lane until Port Way then dropping back to the Penwortham parish boundary.

Walton-le-Dale Arts College and High School - (07/107)

Walton-le-Dale area (east of Station and Chorley Roads) and parishes of Samlesbury, Cuerdale, Hoghton and Brindle (part*).

*** The boundary will run along the M65 motorway to the Walton le Dale boundary and follow this to Station Road.**

[amended 2016/17]

Wellfield High School - (07/104)

Parish of Ulnes Walton and Leyland area (part*) plus part of South East Farington (part**).

*** From the boundary between Euxton and Leyland follow the centre of Worden Lane, St Andrews Road, Towngate, King Street and Leyland Way to the boundaries with Clayton le Woods and Cuerden.**

****Follow the centre of Wheelton Lane north then east along the centre of Centurion Way then briefly north along Preston Road (B5254) to meet Stanifield Lane up to Claytons Farm.**

Balshaws CE High School : A Specialist Engineering College ~ (07/101)

Leyland area (part*) and parishes of Cuerden, Clayton le Woods, Brindle (part*) and Euxton (part*).

*** Leyland east of Worden Lane, St Andrews Road, Towngate, King Street and Leyland Way.**

Brindle south of the M65 motorway.

Euxton – follow the railway line south then east to the border with Chorley district. Follow the Chorley and Whittle le Woods boundaries back to the Leyland boundary.

West Lancashire Secondary Schools

Ormskirk School - (08/115)

(Please note that no changes are being proposed to the existing priority area boundaries)

Parishes of Scarisbrick, Halsall, Downholland, Great Altcar, Aughton, Ormskirk, Bickerstaffe and Simonswood.

From the boundary of Bickerstaffe (Primrose farm) run north to the boundary of Lathom (Cock Farm).

Burscough Priory Science College - (08/104)

Parishes of Rufford. Burscough, Lathom, Newburgh, Parbold and Hilldale.

Upholland High School – A Specialist Music, Mathematics and Computing College - (08/105)

Parishes of Wrightington, Dalton and Upholland.

Chorley Secondary School

Southlands High School – A Specialist Technology College - (09/101);

Parishes of Charnock Richard, Coppull, Euxton (part),* Astley Village, Whittle le Woods, District of Chorley, Withnell, Wheelton, Heapey, Anglezarke, Heath Charnock, Anderton, Adlington and Rivington.

*Euxton south of the railway line.

East Lancashire Schools

GEOGRAPHICAL PRIORITY AREAS

(Please note that where reference is made to parishes, these refer to civil parishes not ecclesiastical parishes.)

HYNDBURN COMMUNITY HIGH SCHOOLS

The Hollins Technology College - (11/102)

The above school's priority area is Accrington (South) including Baxenden and Huncoat.

Rhyddings Business and Enterprise School – (11/105)

The above school's priority area is Oswaldtwistle, including Belthorn and Knuzden, Church and Accrington (West).

Norden High School and Sports College – (11/101)

The above school's priority area is Great Harwood, Rishton, Altham and Clayton-le-Moors.

RIBBLE VALLEY COMMUNITY HIGH SCHOOL

Ribblesdale High School - (11/113)

The above school's priority area is Clitheroe, Worston, Pendleton, Mearley, Whalley, Wiswell, Mitton, Read, Sabden, Simonstone, Aighton, Bailey and Chaigley, Billington, Dinckley, Balderstone, Clayton-le-Dale, Mellor, Osbaldeston, Ramsgreave, Salesbury, Wilpshire, Barrow, Stoneyhurst, Brockhall Village, Hurst Green and Langho.

BURNLEY COMMUNITY HIGH SCHOOL

Hameldon Community College - (12/111)

This area includes South Padiham, Lowerhouse, Hapton, Rose Grove, and the Cog Lane, Coal Clough Lane and Rossendale Road areas (South West Burnley).

The northern perimeter of the proposed area is from a line running eastwards from the border with Hyndburn running across the A6068 and following the centre of a link road to the works just north of the Leeds and Liverpool Canal.

This area includes all residential addresses below this line (and within the perimeters of this priority area).

The perimeter follows the railway line north west and turns eastwards above Low Bank and Printers Fold to join Scott Street at the junction with Printers Fold and Scott Street. It follows the east side of Scott Street to the A671, Padiham Road and goes down the centre of Padiham Road to the M65. It then cuts across the M65 and briefly follows the railway line towards Stoneyholme and then turns south east, under Padiham Road and down the centre of the A671, Trafalgar Street. At the centre of the roundabout with the A682, Manchester Road the perimeter turns south and follows the centre of Manchester Road and then Burnley Road down to Clowbridge reservoir and then turns westwards above Springfield View following the A link road encompassing Clowbridge, Bank Clough and New Laithe to the border with Rossendale at Great Hill/The Masts.

PENDLE COMMUNITY HIGH SCHOOLS

Marsden Heights Community College – (13/110)

This area includes Brierfield, South Nelson and Southfield.

The southern perimeter of the proposed priority area is the border with Burnley. The perimeter follows the M65 north/north west until Junction 12 then crosses to the Brierfield side of the motorway and runs briefly up the centre of the A682 and then up the centre of Manchester Road.

The perimeter follows the centre of Manchester Road and Broadway, turns into Holme Street and then turns up the A56, Leeds Road. It then turns east to follow the length of the centre of Barkerhouse Road, crosses Southfield Lane and follows the centre of Delves Lane to Float Bridge. All residential addresses under Barkerhouse Road and Delves Lane and within the

defined area are included in this proposed priority area. The perimeter line then heads south down the centre of Back Lane until it meets the border with Burnley.

Pendle Vale College – (13/111)

This area includes Barley Green, Higham, Fence, Wheatley Lane, Lomeshaye and Central Nelson.

The eastern perimeter of the proposed area is the border with Ribble Valley from the centre of Barley Lane southwards and then eastward until the M65.

The perimeter then follows the M65 north/north east to Junction 12 then crosses to the Brierfield side of the motorway and runs briefly up the centre of the A682 and then up the centre of Manchester Road.

The perimeter then turns into Holme Street then turns up the A56 Leeds Road before going east down the centre of Barkerhouse Road crossing Southfield Lane and continuing along the centre of Delves Lane to Float Bridge. All residential addresses above Barkerhouse Road and Delves Lane and within the perimeter described are in this proposed priority area.

At Float Bridge the perimeter turns northwest along the centre of Back Lane and continues north up the centre of Southfield Lane. It then veers west at the junction with Knott Lane towards the railway line and under the residential area at Primet Bridge (under Castercliff Bank/Pendlemist View/Cotton Court/St Andrews Close).

The perimeter then follows the southeast side of the railway line towards the Walton site as far as the north side of Bott House Lane. It then follows the centre of Bott House Lane west to the A56, Leeds Road and follows the centre of the road south west to the junction with the A682, Scotland Road. It turns north west up the centre of Scotland Road across Junction 13 of the M65 and follows the motorway down towards Lomeshaye. It then turns north west across Colne Water and up the centre of Carr Hall Lane to the junction with Wheatley Lane Road.

It then continues northwest along Carr Hall Road and continues along the centre of Sandyhall Lane, Ridge Lane, Barley New Road and Barley Lane until the Ribble Valley border.

Park High School, Colne - (13/107)

This area includes Foulridge, North Colne, Laneshaw Bridge and Trawden.

The south and east perimeter of the proposed priority area is the border with Burnley, Calderdale, Bradford and North Yorkshire. The perimeter runs up the centre of Back Lane and continues up the centre of Southfields Lane and Lenches Road as far as Colne Water. It follows the underside of Colne Water to Coal Pitt Lane and crosses Colne Water heading north up the centre of Carry Lane to the B6250, Keighley Road. It continues briefly west down the centre of the road and then turns north up the centre of the A56, Skipton Road. At the junction with

Windsor Street it heads west along the centre of Windsor Street, North Valley Road and Vivary Way until adjacent to Heirs House Lane. The perimeter then heads northwest up the centre of the lane and continues across Red Lane to Barnoldswick Road.

It follows the east side of the Road and continues northeast under Standing Stone Lane before heading north over the reservoir on the west side of High Lane. It then turns east under White House Farm and heads north on the west side of the lane leading to Mill Hill Bridge. It goes over the top of the lane and crosses the Leeds and Liverpool Canal between Mill Hill Bridge and Hatters Bridge and continues eastwards to the A56, Colne Road over Great Hague. The perimeter then heads briefly south and then east towards Kelbrook Wood before turning south briefly again and then going northeast over the lanes leading to the North Yorkshire border. This area includes the parish of Foulridge.

West Craven Technology College, Barnoldswick – (13/103)

This area includes Barnoldswick, Earby and Kelbrook.

The perimeter of the proposed priority area to the west, north and east is the border with Ribbles Valley and North Yorkshire.

From the east border the perimeter follows the centre of Gisburn Road down to Blacko and turns east over the post office and Burnt House Farm to the east side of Barnoldswick Road. It heads north and follows the underside of Standing Stone Lane then turns north over the reservoir. It heads east under White House Farm then north staying on the west side of the lane leading to Mill Hill Bridge. It crosses the Leeds and Liverpool canal between Mill Hill Bridge and Hatters Bridge continuing eastwards to the A56, Colne Road over Great Hague.

The perimeter turns briefly south then east towards Kelbrook Wood then south briefly again and finally northeast towards the North Yorkshire border over the lanes leading to North Yorkshire.

ROSSENDALE COMMUNITY HIGH SCHOOLS

Alder Grange Community and Technology School – (14/101)

This school mainly services the area of RAWTENSTALL - Crawshawbooth, Constable Lee, Oakley, Hall Carr, Loveclough and Rawtenstall town centre, Goodshaw, Balladen, and Townsend Fold.

Fearns Community Sports College – (14/108)

This school mainly services the areas of BACUP, STACKSTEADS and WATERFOOT - Stacksteads, Water, Waterfoot, Bacup, Thorn, Sharneyford, Britannia, Weir, Newchurch, Cloughfold, Trough Gate, Cowpe and Boarsgreave.

Whitworth Community High School – (14/107)

This school mainly services the area of WHITWORTH - Whitworth, Broadley, Leavengreave, Shawforth.

Haslingden High School and Sixth Form – (14/109)

This school mainly services the area of HASLINGDEN - Haslingden, Helmshore, Rising Bridge, Edenfield, Stubbins, Turn, Chatterton and Strongstry.

ALL DISTRICTS

**PROPOSED ADMISSIONS POLICY FOR COMMUNITY AND VOLUNTARY CONTROLLED
PRIMARY SCHOOLS - 2017/2018**

The proposed policy for admission to community and voluntary controlled primary schools for 2017/2018 is listed below:-

An admission number will be published showing the maximum number of pupils that the school will admit in the Autumn Term 2017. Parents will be asked to express preferences for three primary schools. Parents are given the opportunity to express three preferences for a primary school. Published criteria are used to decide which children should be offered the available places. In primary schools an equal preference scheme has been introduced to comply with the Schools Admission Code, whereby three parental preferences are given equal status to the preference and will be considered equally against the admissions criteria. If a school is oversubscribed, the following criteria will be applied in priority order:

Primary Schools

When a school is oversubscribed on parental preferences, then the following priorities apply in order:

1. Looked after children and those who have been previously looked after, (see note xi below), then
2. Children for whom the Local Authority accepts that there are exceptional medical social or welfare reasons which are directly relevant to the school concerned (see note (i) below, then
3. Children with older brothers and sisters attending the school when the younger child will start, (see note (iii) below), then

4. Remaining places are allocated according to where a child lives. Those living nearest to the preferred school by a straight line (radial) measure will have priority, (see note (v) below).

Notes

- (i) The medical, social and welfare criterion will consider issues relevant to the child and/or the family. This category may include children without a statement who have special needs.
- (ii) As required by law, all children with a Statement of Special Educational Needs/EHC naming a school will be admitted before the application of the over-subscription criteria. Children who have a statement for special needs have their applications considered separately.
- (iii) Brothers and sisters includes step children, half brothers and sisters, fostered and adopted children living with the same family at the same address (consideration may be given to applying this criterion to full brothers and sisters who reside at different addresses).
- (iv) The distance criterion which will be used as the tie breaker if there is oversubscription within any of the admission criteria is a straight line (radial) measure. If the Local Authority is unable to distinguish between applicants using the published criteria (eg twins or same block of flats) places will be offered via a random draw.

The distance measure is a straight line (radial) measure centre of building to centre of building.
- (v) A child's permanent address is the one where he/she normally lives and sleeps and goes to school from. Proof of residence may be requested at any time throughout the admissions process, (including after a child has accessed a school place).
- (vi) The Local Authority will keep waiting lists for all Lancashire primary schools until 31 August 2017. These are kept in priority order using the school's published admission criteria. From 1 September 2017 for one school term only waiting lists will be retained by individual admission authorities (the Local authority for community and voluntary controlled schools and individual voluntary aided and trust schools will each retain their own list).
- (vii) Children will not normally be able to start school other than at the beginning of the term unless they have moved into the area or there are exceptional circumstances.
- (viii) Applications for school places which are received late will not necessarily be dealt with at the same time as those received by the set deadline. The reasons for a late application may be requested and where these are not exceptional the relevant admission criteria will be initially applied to all others received on time. The late application will be dealt with after this process.

Application forms received after the published closing date, will only be considered at that time if the following conditions apply:

- (a) if the number of preferences received for the school is below the published admission number or:
- (b) there are extenuating circumstances justifying a late application.

These may include:

- (a) parents moving into the County after the closing date;
 - (b) parent/carer illness which required hospitalisation for the major part of the period between the publication of the composite prospectus and the closing date for applications.
- (ix) Where a child lives with one parent for part of the week and another for the rest of the week only one address will be accepted for a school admission application. This will normally be the one where the child wakes up for the majority of school days (Monday to Friday).
- (x) the highest priority **must** be given to looked after children⁵ and children who were looked after, but ceased to be so because they were adopted⁶ (or became subject to a residence order⁷ or special guardianship order⁸). Further references to previously looked after children in the Code means children who were adopted (or subject to residence orders or special guardianship orders) immediately following having been looked after.

Proposed Geographical Priority Area for the North Area of Lancashire@~

Mayfield Primary School, Lytham St Annes - Geographical Priority Area (GPA)

Building work has commenced on a new housing development on the ex Pontin's site on the A584 which borders Blackpool authority (the A5230 - Squires Gate Lane and Blackpool Airport).

This is located within Lancashire but is situated on the border with Blackpool. The new properties will be situated near to Blackpool primary and secondary schools and academies. They are already located within the FY8 area so are in the geographical priority area (GPA) for Lytham St Annes Technology & Performing Arts College.

⁵ A 'looked after child' is a child who is (a) in the care of a local authority, or (b) being provided with accommodation by a local authority in the exercise of their social services functions (see the definition in section 22(1) of the Children Act 1989).

⁶ Under the terms of the Adoption and Children Act 2002. See section 46 (adoption orders).

⁷ Under the terms of the Children Act 1989. See section 8 which defines a 'residence order' as an order settling the arrangements to be made as to the person with whom the child is to live.

⁸ See section 14A of the Children Act 1989 which defines a 'special guardianship order' as an order appointing one or more individuals to be a child's special guardian (or special guardians).

There are 443 dwellings planned on this site. The pupil yield from these will depend on the type of housing which is developed and is expected to be between 75 and 168 across the primary age range. Blackpool Authority do have primary place capacity for this new development.

The properties will however be some distance from the nearest Lancashire primary school. It is intended therefore to introduce a GPA for Mayfield Primary School in St Annes in order to give these Lancashire families some increased priority for admission.

The current determined admission arrangements for all Lancashire's community and voluntary controlled schools prioritise admission as follows:-

1. Looked after children and those who were previously looked after (now adopted or subject to certain orders)
2. Exceptional medical, social and welfare reasons directly relevant to the school concerned
3. Children who will have older brothers and sisters attending the school when the younger child applies
4. Distance - a straight line (radial) measure

For admissions for 2017 and thereafter it is intended that the admission arrangements for Mayfield Primary School be changed to reflect a geographical priority area (GPA).

This would require re-defining 4 (above) into two distinct elements as follows:-

Remaining places are allocated according to where a child lives - distance:

- i) To those resident within the agreed geographical priority area (the new development on the ex Pontin's site)
- ii) To other applicants

Subscription levels at the school for the past 3 years (parental preferences):-

School	Year	1 st	2 nd	3 rd	total	Offers
Mayfield Primary	2015	35	15	28	78	52
PAN - 60	2014	25	9	15	49	27
	2013	34	24	13	71	34

Over the next 2 years falling birth rates will reduce primary place demand in the Fylde area. Any additional applications from this development will be able to access places in Lancashire or in the neighbouring Blackpool area. Without the establishment of a GPA at Mayfield these Lancashire families are very likely to have lowest priority for admission to a Lancashire primary school year on year.

Officer comment: *a senior officer from the Pupil Access Team visited Mayfield Primary School on 29 September 2015 to discuss this proposal with the head teacher. She was fully supportive of the establishment of the proposed GPA to allow parents in this area to have priority for a Lancashire primary school.*

Geographical Priority Areas (GPAs) for South Lancashire Primary Schools

(GPAs were introduced for these three primary schools in 2011/12).

LONGSANDS CP SCHOOL – the area north of Sandy Brook, east of Eastway (B6241), south of Savick Brook and west of the M6 motorway.

COTTAM CP SCHOOL – the area north of the Lancaster Canal, east of Sidegreaves Lane, south of Hoyles Lane and west of Tom Benson Way (B6241).

MOSS SIDE CP SCHOOL – the areas north of Moor Road (B5249) and Southport Road (A581), east of the railway line, south of Longmeanygate and west of Shlewsdig Way (B5253) – running south to Leyland Lane and meeting Southport Road.

Families with children living within the stipulated GPA would have prior consideration for a place at the relevant school under criterion 4 – ahead of other applicants under criterion 4 with children living outside of the GPA.

Geographical Priority Areas (GPAs) for East Lancashire Primary Schools

Edisford Community Primary School [introduced in 2015/16 admissions round]

1. Looked after children and those who have been previously looked after, then,
2. Children for whom the Local Authority accepts that there are exceptional medical social or welfare reasons which are directly relevant to the school concerned.
3. Children with older brothers and sisters attending the school when the younger child will start.
4. Remaining places are allocated according to where a child lives. Those living nearest to the preferred school by a straight line (radial) measure will have priority.
 - i) To those resident within the agreed geographical priority area
 - ii) To other applicants

Within each category those living nearest to the preferred school by a straight line (radial) measure will have priority.

The proposed geographical priority area to be applied at 4i) will be:-

Those resident in the Low Moor area (bordered by Edisford Road to the south and the River Ribble to the west and north) as far as houses on and adjacent to Riverside and Low Moor Farm.

GPAs were adopted for Crawshawbooth Community Primary School and Waterfoot Community Primary School and introduced in 2014/15 admissions round.

CRAWSHAWBOOTH COMMUNITY PRIMARY SCHOOL

Crawshawbooth Community Primary School

1. Looked after children and those who have been previously looked after, then,
2. Children for whom the Local Authority accepts that there are exceptional medical social or welfare reasons which are directly relevant to the school concerned.
3. Children with older brothers and sisters attending the school when the younger child will start.
4. Remaining places are allocated according to where a child lives. Those living nearest to the preferred school by a straight line (radial) measure will have priority.
 - i) To those resident within the agreed geographical priority area
 - ii) To other applicants

Within each category those living nearest to the preferred school by a straight line (radial) measure will have priority.

The proposed geographical priority area to be applied at 4i) will be:-

From the north end of the Clowbridge reservoir heading south and taking in the Dunnockshaw, Loveclough, Goodshaw Fold, Goodshaw Chapel and Goodshaw areas (and surrounding farm houses). The cut off points at the south end of the area will be Lord Street and its houses and Forest Bank Road (both off the A682).The line will run East down the middle of Forest bank Road and across the top of Short Clough reservoir

WATERFOOT COMMUNITY PRIMARY SCHOOL

Waterfoot Community Primary School

1. Looked after children and those who have been previously looked after, then,
2. Children for whom the Local Authority accepts that there are exceptional medical social or welfare reasons which are directly relevant to the school concerned.
3. Children with older brothers and sisters attending the school when the younger child will start.
4. Remaining places are allocated according to where a child lives. Those living nearest to the preferred school by a straight line (radial) measure will have priority.
 - i) To those resident within the agreed geographical priority area
 - ii) To other applicants

Within each category those living nearest to the preferred school by a straight line (radial) measure will have priority.

The proposed geographical priority area to be applied at 4i) will be:-

Lower and Higher Boarsgreave in the south taking in houses and settlement adjacent to Cowpe Road running north to the point where the River Irwell meets Bacup Road in Waterfoot.

Families with children living within the stipulated GPA would have prior consideration for a place at the relevant school under criterion 4 – ahead of other applicants under criterion 4 with children living outside of the GPA.

Lancashire Infant and Junior Schools

Infant to Junior School Transfers (Year 2 to Year 3) and In Year Admissions

In Lancashire there are five infant and five junior schools which are legally separate organisations (each has its own Governing Body) but which, in pairs, have close links.

These are:-

- Ribbleton Avenue Infants and Ribbleton Avenue Juniors (Preston)
- Leyland Methodist Infants and Leyland Methodist Juniors (South Ribble)
- Leyland St Andrew's CE Infants and Woodlea Juniors (South Ribble)
- Rosegrove Infants and Lowerhouse Juniors (Burnley)
- Whitefield Infants and Lomeshaye Juniors (Pendle)

Historically children in Year 2 at each infant school have transferred to Year 3 at the associated junior school. It is anticipated that this will continue. The School admissions Code does state however that:-

"Some schools give priority to siblings of pupils attending another state funded school with which they have close links. Where this is the case this priority must be set out clearly in the arrangements".

The current determined admission arrangements for all Lancashire's community and voluntary controlled schools prioritise admission as follows:-

1. Looked after children and those who were previously looked after (now adopted or subject to certain orders)
2. Exceptional medical, social and welfare reasons directly relevant to the school concerned
3. Children who will have older brothers and sisters attending the school when the younger child applies
4. Distance - a straight line (radial) measure

These criteria do not explicitly refer to the schools named above in terms of applying the sibling test across the full age range (reception to Year 5 for September reception admissions; reception to Year 5 for all Year 2 to Year 3 transfers and reception to Year 6 for all in year

admissions). Clarity is important in relation to the close links between each pair of infant and junior schools.

It is proposed therefore to add statements to the determined admission arrangements for Lancashire's community and voluntary controlled schools to confirm that:-

"For Lancashire infant and junior schools which have close links (the schools will be named in information for parents) the sibling criterion for admission will be applied in relation to children on roll at either school (as appropriate) in relation to annual intakes and in year admissions"

"For Year 3 admissions at Lancashire junior schools parents with children on roll in Year 2 at any school may apply for Year 3 places (by 15 January in the year of the intended transfer). Similarly new to area families are able to apply for Year 3 places at the junior schools."

It is expected that predominantly the current situation for Year 2 to Year 3 transfers will continue. The Local Authority will however implement and manage a formal admission round for transfers if a situation develops where there are more Year 3 applicants than available places.

Officer comment: prior to formal consultation about firming up the admission policy for infant and junior schools and clarifying the information for parents a letter was sent to all of the head teachers concerned. This alerted them to the forthcoming consultation and gave the opportunity for informal views ahead of any changes. There were some informal enquiries by telephone about the need for the change but no formal objections or concerns have been received. In view of admission number mismatches for two pairs of these schools, and probable increased place demand in the future, it is essential that Lancashire provides absolute clarity about infant and junior admissions and transfers. This will ensure that the requirements of the School Admissions Code and associated legislation are met and that all schools and applicants have clear information about how admissions procedures operate.

APPENDIX D

PROPOSED ADMISSION REQUIREMENTS TO COMMUNITY SIXTH FORM/YEAR 12 PLACES 2017/2018

The criteria which are to be used to allocate Year 12 places when a community or controlled sixth form is oversubscribed are described below.

01108 – Heysham High School Sports College

Course	Entry Requirements
A-Level Biology	A minimum of 5 GCSE Grade Cs or equivalent B in GCSE Science Double Award.
Travel and Tourism Applied A-Level	A minimum of 5 GCSE Grade Cs or equivalent.
A-Level DT	A minimum of 5 GCSE Grade Cs or equivalent.
Leisure and Tourism Applied A-Level	Grades between A and D at GCSE. Good motivation.

01109 – Morecambe Community High School

Course	Requirement Basic
Level 3 Courses AS	All students are expected to take 4 AS subjects though in some (rare) circumstances it may be acceptable to begin with 3. The minimum entry requirement is 5 GCSEs at Grade C, with at least a C in chosen subjects (unless not available at GCSE) including English and Maths. Many subjects have additional requirements which are detailed

	in our prospectus.
Level 2	3 GCSEs at Grade D.
GCSE	Students without a Grade C in Maths or English are expected to attend GCSE resit classes.
NB. There may be unusual circumstances when a student is allowed to begin AS Level courses without the minimum entry requirements.	

01110 – Carnforth High School

The general requirements for admission into Year 12 are as follows:

5 GCSE (or equivalent) at A*- C

General expectation of Grade B in subjects being studied at AS/A2 – but others considered on individual Merit

Specific course entry requirements will therefore vary and be agreed at interview. These necessarily vary with the blend of courses applied for but in general:

Course	Basic Requirement
Level 3 Courses AS	All students are expected to take 4 AS subjects though in some (rare) circumstances it may be acceptable to begin with 3. The minimum entry requirement is 5 GCSEs at Grade C. For students wishing to study at AS/A2 level a B in the subject will be required (unless not available at GCSE). For other level 3 courses the expectation is for students to have achieved a grade C in that subject at GCSE where available.
Level 2	Entry onto level 2 courses will be granted on individual merit following discussion with admissions staff.

GCSE	Students without a Grade C in Maths or English are expected to attend GCSE re-sit classes.
Note: There may be unusual circumstances where a student is allowed to begin AS Level courses without the minimum entry requirements.	

01113 - Central Lancaster High School

Academic performance needs to be demonstrated in the particular subjects chosen in relation to the level of study, where possible at GCSE or equivalent for Level 3. General achievement, academic and other, at Key Stage 4, will be taken into account. In particular, evidence of the following will be considered (Please contact the school for a copy of the Sixth Form Entry and Retention Policy):

- Commitment to attend regularly
- Commitment to behave in a sensible manner
- Commitment to work hard and meet deadlines
- Commitment to work independently

APPENDIX D

The school is working in partnership with other schools to ensure access to the widest possible range of courses. Specific course entry requirements will therefore vary and be agreed at interview. These necessarily vary with the blend of courses applied for but in general:

Course	Requirement Basic
Level 3 Courses AS	All students are expected to take 4 AS subjects, though in some circumstances it may be acceptable to begin with 3. The minimum entry requirement is 5 GCSEs at Grade C or equivalent. Students should have at least a C in chosen subjects (unless not available at GCSE). There is a general expectation of Grade B and above in subjects studied at AS/BTEC, but applications will be considered on individual merit.
Level 2	Entry onto level 2 courses will be granted on individual merit following discussion with admissions staff.
GCSE	Students without a Grade C in Maths or English are expected to attend GCSE resit classes.
NB. There may be unusual circumstances when a student is allowed to begin AS Level courses without the minimum entry requirements.	

APPENDIX D

04115 – Carr Hill High School & Sixth Form Centre, Kirkham

Course	Requirement Basic
A Level	5 A* - C GCSEs including Maths and English. Certain subjects require at least a B Grade, please see our prospectus or website for further details. Applicants should note the application form requires information about their record of attendance, attitude and behaviour in their current school.
Level 3 Diplomas	A minimum of 5 Grade A*- C CGSEs or equivalent, preferably with English and Maths. Students considering Engineering must achieve at least a C Grade in GCSE Maths. Applicants should note the application form requires information about their record of attendance, attitude and behaviour in their current school
City Campus courses at Level 1 or Level 2	Applications from 16 to 18 year olds are assessed on an individual basis.
Sporting Academy Elite	Applicants to join our elite sport programme in Football, Netball or Rugby must meet the academic criteria from one of the sections above. In addition applicants must be able to demonstrate a history of excellence at competitive sport and pass a physical fitness test. Please see our prospectus or website for further details.

APPENDIX D

06104 – Ashton Community Science College

Course	Requirement Basic
Level 2 BTEC and Vocational Courses	L1 English and Maths at grade E or above. L1 qualification in related course preferable Reference and interview
Level 3 BTEC and Vocational Courses	L2 qualification in relevant subject. 4 Grade C GCSEs or equivalent. L2 English and Maths preferable. Reference and Interview.
GCSE	Students without a Grade C in maths or English are expected to attend GCSE re-sit classes.

08115 – The Sixth Form College at Ormskirk School

Course	Requirement Basic
To study 4 AS Levels	At least 4 GCSEs at Grade B or above.
To study Applied AS Levels or BTEC level 3	At least 5 GCSEs at Grade C or above.

APPENDIX D

12115 – Thomas Whitham Sixth Form

Course	Requirement Basic
Level Three Courses	<p>In order to be successful on a Level Three course programme it is advisable in Year 11 to achieve the highest GCSE grades possible (or their equivalent).</p> <p>The minimum requirement for progression on to a Level Three course programme is at least five grade Cs or better at GCSE or its equivalent. To guarantee your place these should include a grade C in English Language and Mathematics. As you will notice from the individual course information, many subjects will require at least a grade B in a particular area. We believe it is important to look at each individual case but of course successful progression must be a priority for all concerned.</p>

14101 – Alder Grange Community & Technology School Sixth Form

Alder Grange is designed to cater for students from a wide range of abilities, offering a blend of courses mainly at level 3, and some level 2 including A level and BTEC. The fundamental admission requirement is a preparedness to sign, and to follow the Student Charter (a series of commitments regarding attendance, conduct, progress and success).

APPENDIX D

Specific course entry requirements will vary and be agreed at interview. These necessarily vary with the blend of courses applied for but in general:

Course	Requirement Basic
Level 2	Level 1 passes in appropriate subjects.
Level 3 BTEC	At least a grade D or equivalent in any related subject.
Level 3 AS	At least a grade C or equivalent in any subject studied.

14109 – Haslingden High School Sixth Form

Requirements vary from course to course. Please consult the school for more details of subject requirements.

APPENDIX D

The following gives an overview:

General entry requirement: 5 GCSE subjects at grade A* - C including English and Maths (BTEC Merit grades or above can be included). 'A' Level courses require at least grade B in the chosen subject (or related subjects if not studied before).

Course	Requirement Basic
AS	5 higher grade passes at GCSE including English and Maths. At least grade B in the chosen subject (or related subjects if not studied before).
A2	3 grade D passes at AS.
BTEC	At least 5 A–C passes at GCSE

3 September 2015

Report to the Cabinet Member for Children, Young People and Schools
Report submitted by: Head of Service, School Improvement
Date: 8 February 2016

Part I

Electoral Divisions affected:
All

Co-ordinated Admissions Scheme 2017/18 – Determination of the Qualifying Scheme

(Appendices 'A' and 'B' refer)

Contact for further information:

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Executive Summary

This report concerns the determination of the statutory scheme for co-ordinating admissions for Lancashire's primary and secondary schools and academies for 2017/2018.

This is deemed to be a Key Decision and the provisions of Standing Order No 25 have been complied with.

Recommendation

The Cabinet Member for Children, Young People and Schools is recommended to:

- (i) Approve that the scheme listed at Appendix 'A', be adopted as the qualifying scheme for admissions to Lancashire primary and secondary schools and academies for 2017/18; and
- (ii) Approve that the Director for Children's Services shall seek to secure the adoption of the scheme by the governing body of each Lancashire voluntary aided and foundation school and academy in order to inform the Secretary of State that a scheme has been introduced in Lancashire.

Background and Advice

Every local authority is under a duty to formulate a scheme to co-ordinate the admission process for every state funded school in their area. The requirements for such a 'qualifying scheme' for the co-ordination of admission arrangements for the academic year 2013/14 onwards are set out in The School Admissions (Admission Arrangements and Co-ordination of Admission Arrangements) (England) Regulations 2012. New free schools may be exempt from this scheme during the first year of their establishment.

A draft scheme and timetable for Lancashire schools and academies/free schools was circulated for consultation with schools and academies, governors, diocesan representatives and neighbouring authorities during Autumn Term 2015 – this was issued on 16 October 2015 with a deadline for responses at 2 December 2015. These are attached at Appendix 'A'. The amended scheme includes additional information at section 6 about infant school to junior school transfers (year 2 to year 3). An explanatory note is attached at Appendix 'B'

The scheme for 2017/18 maintains the focus on on-line applications being the principle means of applying for school places.

Every voluntary aided and foundation school and academy governing body in Lancashire will be asked to adopt the scheme during spring term 2016. Any participating free schools will also be asked to adopt the scheme (although these arrangements may vary slightly).

The Secretary of State for Education must be informed that a scheme is in place. If a scheme is not adopted by all admission authorities then a scheme will be imposed by the Secretary of State.

Consultations

Consultations have been held with the governing bodies of all schools and academies in Lancashire, representatives of the local Diocesan Education Authorities and neighbouring authorities.

Implications:

This item has the following implications, as indicated:

Risk Management

Financial

The adoption of this scheme has no financial implications.

Legal

If a qualifying scheme is not adopted by the authority before 28 February 2016 a scheme will be imposed by the Secretary of State.

List of Background Papers

Paper	Date	Contact/Directorate/Ext
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None

Reason for inclusion in Part II, if appropriate

N/A

CO-ORDINATED ADMISSION SCHEME FOR LANCASHIRE SCHOOLS AND ACADEMIES 2016/17

1. Introduction

Lancashire's co-ordinated admission scheme provides a fair and transparent route for the consideration of parental preferences in accordance with legislation and the Department for Education (DFE) School Admissions Code.

The scheme allows parents of all pupils living within Lancashire to complete a single application expressing up to three preferences for admission to maintained schools, academies and free schools within Lancashire and, if they wish, to include those in neighbouring authority areas.

Following consideration of expressed preferences, the Local Authority (LA) will issue to parents living within Lancashire the offer of a single school or academy place. This will be for all admission authorities which are required to comply with the statutory co-ordinated scheme.

All preferences from parents will be considered equally and where more than one offer is possible the priority order in which the parents expressed their preferences will then be used to determine which single offer is made.

The scheme preserves the powers and responsibilities of individual admission authorities to determine and apply their published admissions policies. At the same time it enables decisions to be taken within a co-ordinated framework covering the whole County.

For the scheme to operate successfully it is important for all admission authorities to work together closely and to share information as required and as far as possible within the agreed timescales.

2. Applying for School Places

Lancashire's on-line admission application system is the main route for all applications for new reception (primary) and Year 7 (secondary) places.

Paper copies of the prospectus and application form will not be routinely available. These will however be supplied on request in exceptional circumstances eg where there is no broadband link or for medical reasons.

Full versions of the prospectuses and application form can be viewed on the on-line application system and the Lancashire County Council website.

3. The Offer of a Place

The scheme will ensure that Lancashire parents only receive a single offer.

The scheme also ensures that each parental preference is considered equally. Where multiple offers are possible the Local Authority (LA) will refer to the priority order of preferences identified by parents on their application. In these circumstances the school or academy at which there is an available place and which is the highest ranked priority on an application will be the confirmed offer.

Processing of Preference Forms

3.1 Stage 1 - Expression of preferences

In early Autumn term each year the LA will provide flyers and information notices for schools to issue / include in communication with parents. These will refer prospective applicants to the on-line application system and to links and contacts for information and advice.

The parents of children who do not attend Lancashire primary schools or academies and those who reside outside of Lancashire's administrative boundaries will be able to access information and advice via the on-line application system and via the County Council web site.

Admission information for parents will include:-

- a) Details of how the process is co-ordinated with all admission authorities within Lancashire and that information is exchanged with neighbouring local authorities.
- b) A summary of the determined admission arrangements for all Lancashire maintained schools, academies and free schools.
- c) Information about the number of applicants received the previous year.
- d) Other admission information to help parents to make realistic preferences and to help them assess the likelihood of obtaining an offer for a preferred school or academy.
- e) Timescales for the primary and secondary admission processes and for the subsequent admission appeal schedule.

THE MAJORITY OF LANCASHIRE PARENTS NOW USE LANCASHIRE'S ON-LINE ADMISSION APPLICATION SYSTEM TO BE LEGALLY REGISTERED WITHIN THE ANNUAL PROCESS FOR PRIMARY AND SECONDARY INTAKES (SOME MAY STILL REQUEST PAPER APPLICATION FORMS).

Some schools and academies have a supplementary information form (SIF) which parents may complete. This allows that school or academy to apply particular criteria within its own published admission arrangements. The on-line system will provide standard downloadable SIFs for Lancashire's voluntary aided

schools and academies (automatically flagged up where a relevant primary school or academy is a parental preference). Information will also point all parents towards individual schools and academies which will issue their own SIF. Completion of a SIF is not a legal requirement – it is however necessary if parents applying for these schools and academies wish to have their application considered fully against the relevant admission criteria.

Lancashire resident parents must however fill in Lancashire's (on-line or paper) application for their children to be considered for reception and year 7 places for each September. **Completion of only a SIF does not constitute registration within the annual admission process for primary or secondary intakes.**

Parents living outside of Lancashire can access the on-line system and the County Council web site for information and advice only. These parents **must** however apply for school places via their home local authority – even where they wish to express preferences for Lancashire schools and academies.

Lancashire resident parents will return applications on-line to the Local Authority. For those where paper forms are still required these can be returned to Area Pupil Access Teams (in Lancaster, Preston and Accrington) or to the child's primary school or academy if this is within Lancashire.

All applications must be returned by the national statutory closing dates

(see timetable).

Parents who apply near to the closing date are encouraged to apply on-line. This is a secure system which provides e-mail acknowledgement of receipt of an application and allows earlier e-mail notification of the school offer.

3.2 Stage 2 – Circulating Preferences

Lancashire primary schools and academies must forward any paper applications received to the Area Pupil Access Team by the agreed date (see timetable).

Primary schools and academies must not forward applications or the details of these to any secondary schools or academies. Under no circumstances must primary schools provide the priority order of parental preferences to secondary schools or academies.

All preferences received will be transferred or inputted into the Lancashire's admissions database. This will include all on-line applications and paper applications including those received individually or in bulk from out of area.

Voluntary aided and foundation schools, academies and free schools will be provided with details of all their applications. They will not be informed of their own establishment's priority order on each parent's application.

The Governing Bodies of voluntary aided and foundation schools, academies and free schools must consider and rank all received applications. Schools and academies which have a SIF must consider applications even where a SIF has not been completed (based upon the information which is available at that time).

If schools or academies chase SIFs which have not been provided with applications this must be for all applicants without a SIF and not only for selected cases.

If a SIF only has been completed then there can be no consideration for a place. Schools and academies should notify the Area Pupil Access Team where this has happened. Pupil Access must be made aware of these cases in order to make alternative offers later in the process.

By an agreed date (see timetable) the Local Authority will notify other admission authorities about all of their preferences. This notification will include straight line distance measures. Any additional or supplementary information provided by parents will also be provided. Lancashire will also exchange information with neighbouring local authorities (information exchanges will continue throughout the process as required).

At this time Lancashire also verifies the details of many applications eg in relation to children in care, special needs, siblings, addresses and claimed medical, social and welfare issues.

(Please note that the background accuracy checks and verifications and the provision of distance measures will only be provided to Lancashire academies and Free Schools which have bought into the admissions traded service).

Stage 3 – First Sort

By (see timetable) each Lancashire voluntary aided and foundation school, academy and free school will return to the Local Authority (electronically via the Schools Portal) a ranked list of all applicants for places at that establishment.

By (see timetable) any admission authority which wishes to exceed its published admission number (PAN) for the forthcoming September intakes (reception or years 3, 7 or 10) must notify the Local Authority. This will allow time for effective co-ordination to occur and for the necessary system changes to be made.

It is necessary for every application to be ranked in priority order to accurately allocate places for all admission authorities (those from in and outside of Lancashire).

All Governing Bodies must therefore be aware that their own ranked list will be manipulated in accordance with the agreed equal preference admission scheme and each parent's priority order of preferences as stated on their application.

The Local Authority will:-

- a) Identify applications where more than a single offer would be possible and then refer back to that parent's preference priorities. The school or academy with an available place listed highest in priority by the parent will be the single offer.

- b) Identify where a first preference school or academy cannot be offered and ensure that the parents other preferences are considered.
- c) Identify where none of a parent's preferences can be offered and ensure that an alternative offer is made. This will usually be the nearest suitable school or academy with an available place (straight line measure).
- d) Ensure that all non-first preference offers issued automatically refer parents to the appropriate reserve list and appeals information and documentation.

Stage 4 – Notification of Offers

By (see timetable) the Local Authority will provide all other admission authorities with details of those pupils who they originally wished to offer a place but who will receive an alternative offer.

All admission authorities will then need to revise their own ranked lists and submit an updated version to the Area Pupil Access Team.

A similar exchange of information and revision of offers lists will be undertaken with neighbouring local authorities.

This element of the process will continue to be repeated as required. This is necessary as initial changes often lead to others (and so on).

The Local Authority will send all other admission authorities their final offer lists by (see timetable). There will be some time to review these again and make changes if these are absolutely essential.

NO CHANGES TO OFFER LETTER WILL BE MADE AFTER (see timetable).

The Local Authority will issue offers for primary and secondary schools on the defined national statutory offer dates (see timetable). These will be electronic for all on-line applicants (around 95%) and by letter – 2nd class – for those who submitted paper forms.

Offers will be for Lancashire resident applicants only. Those resident outside of Lancashire will receive offers from their home local authority. Offers made on behalf of other admission authorities (voluntary aided and foundation schools, academies and free schools) will state that this is the case.

On-line applicants will be able to view their school or academy offer on the statutory offer date / day. Letters issued 2nd class to those who applied on paper may arrive slightly later.

4. Late Applications

Applications received after the statutory closing dates (see timetable) may be made on an e-form or a paper form may be requested. The on-line system closes at 11.59 pm on each closing date.

Applications received late must be receipted and / or date stamped. These will generally only be considered if the following apply:-

- (a) If the overall number of preferences received for a school or academy is below its published admission number or;
- (b) The school or academy is exceeding its published number to a defined limit and has notified the Local Authority in time for co-ordination to successfully occur (and if available places remain) or;
- (c) There are extenuating circumstances justifying a late application.

These may include:

- (i) Parents moving into the County or Country (see note 5) after the closing date;
- (ii) Parent / carer illness which required hospitalisation for the major part of the period between the issue of admissions information and the closing date for applications.

Individual parents will be responsible for providing evidence to support consideration of including a late application within the admission process. The Local Authority will determine the appropriateness and strength of each case and there will be liaison with other admission authorities where this is necessary.

The Local Authority will therefore refer some late application cases (but not all) to other admission authorities.

IT IS NOT ANTICIPATED THAT ANY LATE APPLICATIONS WILL BE INCLUDED IN THE PROCESS AFTER PROVISIONAL OFFERS HAVE BEEN RANKED.

Applications received after the statutory offer dates (see timetable).

Any applications received for places after the offer date will be considered by the Local Authority as being late. If parents provide reasons / evidence which they feel justify acceptance of a late application the Local Authority will review the situation. The relevant admission authority may be consulted where this is felt to be necessary.

The LA will retain the responsibility for issuing offer letters to parents up to 31st December (for reception and year 7 places) in liaison with own admission authority schools and academies as required.

This process will operate until the start of Autumn term after which any enquiries for places will be directed to the appropriate admission authority who will make decisions and arrange for the issue of letters accordingly (unless they receive this element of the process as part of a bought in service from the Local Authority)

There is a requirement that after September term start all Lancashire maintained schools, academies and free schools will liaise with the LA about any reception and year 7 offers which they make. This will allow closer monitoring of the overall availability of places across the County and facilitate dealing with new applications.

Late allocation changes (each year)

Offers are issued centrally (from County Hall). This requires the electronic transfer of information from each Area Pupil Access Team. Arrangements will be made to signpost or include other information with some offers (eg reserve lists, appeals and home to school transport).

It is not possible to make any amendments to the primary or secondary allocations in the 7 to 10 working days preceding these being issued (see timetable).

Waiting Lists (Reserve Lists)

All admission authorities must retain reception or year 7 waiting lists for 1 term into the new school year (up to 31st December).

Parents may express an interest in a pupil's name being added to a waiting list for a school / academy at any time. Names of pupils to be added to waiting lists will be collected by the LA and shared with other admission authorities. These are not restricted to those who applied initially for particular establishments – any parents may access any reserve lists. Parents can therefore have a place on a school / academy waiting list even if this was not one of their initial preferences.

The LA will compile reserve lists in the priority order of each school or academy admission arrangements (in liaison with individual admission authorities). The LA will issue any offers which can be made as a result of places becoming available (the number of offers for a school falling below the school's published admission number for the required year group).

The only legal offers up to 31st August will be from the LA. All parents may place children on school / academy waiting lists in the priority order of the relevant admission arrangements (irrespective of whether they originally applied for that school or academy or if they are new to area). Lists must not be held on a first come first served basis and neither must places be offered on this basis.

Any pupils who are subject to a Local Authority direction to admit or who are allocated in accordance with Fair Access Arrangements (as described within the School Admissions Code) must take precedence over others who are on any school or academy waiting list.

Individual admission authorities must continue to compile and manage waiting lists until 31 December*. Parents who want a pupil to be included on a school or academy list after this date must then contact that establishment direct to enquire about their particular arrangements and requirements

*The Local Authority will provide this service for academies and free schools which buy into the traded admissions scheme.

5. Applications From Abroad (and other areas of the UK)

It is required that families must be physically resident in Lancashire (or nearby) in order to apply within the annual intake processes. Exceptional circumstances will be considered on request (and will require that individual families provide the necessary evidence for consideration). Exceptions will usually include:-

- a) UK Service Personnel families who can provide evidence of a posting into the area and the date from which this will occur.
- b) New to area families purchasing / renting / leasing an address in Lancashire (providing legal evidence of a contract exchange or lease agreement as a minimum) – see notes below.

Where families are planning to return to an address (whether pre owned or not) within Lancashire, and can provide evidence of ownership, it is required that they are physically in residence during the application period in order for applications to be accepted for annual intakes. This means that the child is in residence with parent / parents at their permanent address. This applies to those returning from living abroad and those returning from periods of employment / secondment abroad. This principle applies also to b) above. If there are challenges to an LA decision not to accept an application within the agreed arrangements to coordinate then individual admission authorities will be consulted. Note however that admission policies require that a family does not just own a property in a particular location, but that they are actually resident at that property.

Where families relocate or return to an address in Lancashire after a statutory closing date but during the allocation period (ahead of finalisation of offers) then there will be consideration of accepting a late application. Appropriate evidence must be provided of ownership or a lease / rental agreement and date of relocation and residence at that address.

The agreed timetable for co-ordination for the primary and secondary annual intake processes include agreed dates after which offers will not be amended.

Please note that late entry to the annual intake processes will not be possible after the statutory closing dates unless an exception is agreed by the Local Authority and / or the admission authority.

6. Annual Infant to Junior School Transfers (Year 2 to Year 3)

Some Lancashire infant and junior schools have close links and there is an established annual transfer from Year 2 in the infant school to Year 3 in the associated junior school.

Parents are informed in Lancashire's admissions information that places in Year 3 for annual intakes at this point are open to all applicants.

Where the number of Year 2 to Year 3 transfers / applications can be accommodated in the junior school then the overall process can be managed locally. If however a junior school wishes to exceed its published admission number in Year 3, or there is oversubscription requiring a formal admissions round and the application of determined criteria and tie break - then the Area Pupil Access Team must be informed. The timetable for co-ordination will apply.

**CO-ORDINATED ADMISSION SCHEME FOR
LANCASHIRE SCHOOLS AND ACADEMIES 2017 / 2018
SEPTEMBER 2017 INTAKES**

SECONDARY		PRIMARY	
DATE	ACTION	DATE	ACTION
1st September 2016 (Thursday)	On-line application system goes live and requests for paper forms / booklets accepted and considered	1st September 2016 (Thursday)	On-line application system goes live and requests for paper forms / booklets accepted and considered
31st October 2016 (Monday)	Closing date for applications (statutory)	15th January 2017 (Sunday)	Closing date for applications (statutory)
7th November 2016 (Monday)	Primary schools / academies to forward any paper applications to Area Pupil Access Teams		
25th November 2016 (Friday)	Preferences information exchange with other admission authorities	10th February 2017 (Friday)	Preferences information exchange with other admission authorities
16th December 2016 (Friday)	Admission authority to confirm intention to exceed PAN with the LA	17th February 2017 (Friday)	Admission authority to confirm intention to exceed PAN with the LA
16th December 2016	Prioritised (ranked) lists	10th March 2017 (Friday)	Prioritised (ranked) lists

(Friday)	back to the Local Authority		back to the Local Authority
Secondary continued		Primary continued	
23rd January 2017 (w/c Monday)	Further exchange of lists with other admission authorities		
13th February 2017 (Monday)	No changes at all can be made to offer letters after this date	3rd April 2017 (Monday)	No changes at all can be made to offer letters after this date
20th February 2017 (w/c Monday)	Issue finalised offer lists to secondary schools / academies	10th April 2016 (w/c Monday)	Issue finalised offer lists to primary schools / academies
1st March 2017 (Wednesday)	Issue offer letters (statutory date is 1st March or the next working day)	16th April 2017 (Sunday)	Issue offer letters (statutory dates)

The closing dates and offer dates are national statutory requirements. The dates of exchanges of information may on occasion vary slightly by agreement to take into account localised issues associated with workload and / or specific situations affecting a school / academy or a group of establishments. Occasionally delays may occur as neighbouring authorities will be working to different timetables.

Where a statutory offer date is on a weekend or public holiday Lancashire's on-line system will go live on that day allowing on-line applicants to access their offer. In these circumstances and for paper applications letters will (where workload allows) be issued on the previous working day and are likely to arrive after the on-line system notifications.

Appendix 'B'

There were no responses to the consultation about Lancashire's proposed co-ordinated admission scheme for 2017/18.

In relation to the added section 6 about infant school to junior school transfers this has been subject to separate consultation as part of Lancashire's process of determining admission arrangements for its community and voluntary controlled primary schools. Details will be available in the separate cabinet report about determining arrangements for 2017/18.

The additional paragraph in the co-ordinated scheme links with this consultation.

All of Lancashire's infant and junior head teachers received a letter and briefing note in September 2015 prior to formal consultation. The briefing note below is for information.

PRIMARY SCHOOL ADMISSION POLICY LANCASHIRE INFANT AND JUNIOR SCHOOLS

Lancashire has only 6 infant and 6 (associated) junior schools. These are:-

Ribbleton Avenue Infant; Ribbleton Avenue Methodist Junior; Leyland Methodist Infant; Leyland Methodist Junior; Leyland St Andrew's CE Infants; Woodlea Junior; Rosegrove Infants; Lowerhouse Junior; Whitefield Infants and Lomeshaye Junior.

(Heyhouses CEP is a single school on a split site and Deepdale Infants and Juniors has now amalgamated into a single school).

1) INFANT SCHOOL SIBLING CRITERION

Section 1 - Paragraph 1.12 of the School Admission Code 2014 states that:-

"Some schools give priority to siblings of pupils attending another state funded school with which they have close links. Where this is the case this priority must be set out clearly in the arrangements".

For the infant schools above the current admission policy for all Lancashire community and voluntary controlled schools does include siblings as criterion 3). This does not specify however if the sibling link applies to children who will be on roll in Years 1 and 2 when the young child starts, or whether it extends the sibling link to Years 3 to 6 at the associated junior school.

*My view is that the sibling link should apply across the full age range for the associated schools - this will minimise instances where siblings born close together would potentially receive offers for different schools (further away from the infant / junior sites)
We will however need to spell this out more clearly in future information for parents and schools.*

2) INFANT TO JUNIOR TRANSFERS

*The introduction of the School Admissions Code - Paragraph 15 d requires that:-
"All parents can express 3 preferences and that a school's admission authority must rank these against published admission criteria".*

The point being that Year 2 to Year 3 transfers should not be automatic and all parents should be made aware that for Lancashire's junior schools they can apply for a Year 3 place even if their child is not on roll at the associated infant school. Also any new to area families who require a Year 3 place are entitled at transfer time to have their application prioritised alongside those wishing to transfer from the associated infant school.

In addition we must also clarify the sibling link from the junior schools in relation to their associated infant school. Again I would prefer that the sibling link applied downwards to minimise making offers for schools which are some distance apart.

Clearly if there are enough places at the junior school to accommodate all applications then transfers can simply proceed - but we need to be more explicit about the opportunity to apply and about the need for the Local Authority be actively involved in instigating a formal admission round where this is required (where there is oversubscription).

Report to the Cabinet Member for Adult and Community Services

Report submitted by: Head of Service, Policy, Information and Commissioning
(Age Well)

Date: 11 February 2016

Part I

Electoral Divisions affected:
All

Fee Uplift – Home Care Framework

Contact for further information:

John Sleightholme, 07599 452903, Financial Intelligence Manager (Age Well),

john.sleightholme@lancashire.gov.uk

Executive Summary

Providers appointed to the County Council's home care framework have not received a rate increase since April 2014, due to the intention to undertake a procurement exercise to establish a new framework with effect from 2016.

A review of budgetary constraints and market conditions indicates that rate increases should be applied in accordance with existing contract terms and conditions, taking into account the requirements of the Care Act 2014 and the statutory guidance issued thereunder.

It is therefore proposed that a rate increase should be implemented as set out in the report.

This is deemed to be a Key Decision and the provisions of Standing Order No. 25 have been complied with.

Recommendation

The Cabinet Member for Adult and Community Services is recommended to approve the rate increase as set out in the report with effect from 1st April 2016.

Background and Advice

Providers appointed to the County Council's home care framework have not received a rate increase since April 2014, pending the intention to undertake a procurement exercise to establish a new Framework.

As a result of feedback from providers of services in the home care market and representatives from forums and associated bodies relaying queries and concerns regarding the approach the County Council planned to take to contracting for home

care services, the County Council decided to discontinue the procurement process in December 2015.

The County Council does not intend to terminate existing contracts prior to March 2017, following the conclusion of a revised procurement exercise, with April 2017 being the earliest time that any new contracting model will be implemented. Existing terms and conditions will therefore remain in place until that time.

Terms and conditions under the existing contracts do not guarantee a rate increase but state that the authority will undertake an annual review of single fee rate, taking into account budgetary constraints and the impact of changes in providers' costs.

A review of budgetary constraints and market conditions indicates the following rate increases should be applied in accordance with existing contract terms and conditions:

	Existing	Proposed	Increase	
Full Hour Rate	£12.17	£12.75	£0.58	4.7%
Half Hour Rate	£6.84	£6.84	£0	0%

This increase may help provide some stability into the current market place given its importance to vulnerable people. The County Council believes the proposed increase would allow providers to meet their obligations associated with forthcoming living wage increases.

Should the increase be approved, the rates would be effective from 1st April 2016.

Consultations

N/A

Implications:

This item has the following implications, as indicated:

Risk management

- Legal

The proposed rate incorporates known inflationary factors and applies them to the existing rate of £12.17 per hour. There remains a risk associated with the relevant provisions of the Care Act 2014, in that existing rates may not be considered by certain providers to be in line with the requirements of the statute. However, this is a risk facing all local authorities and is not specific to the County Council.

To mitigate the risks of potential challenge under the Care Act 2014, the County Council is in the process of reviewing all adult social care fees to ensure compliance with its statutory obligations. The outcome of this review may be to rebase some fees.

- Financial

During the period October 2014 to October 2015 the Consumer Price Index (CPI) 12 month change has not been higher than 1.3% and during the past nine months the 12 month CPI change has hovered between 0.1% and -0.1% increase. The 12 month Retail Price Index (RPI) change for the same period has reduced from 2.3% in October 2014 to 0.7% in October 2015. The hourly rate increase of 4.7% therefore represents a favourable increase when compared to both CPI and RPI.

Living wage for over 25's increases to £7.20 from April 2016. The full impact of this increase has been factored into the proposed rate increase.

The rationale for not increasing the half hour rate is that historically the amount paid for a half hour visit is higher than full hour rate*0.5 due to travel costs being the same regardless of visit duration. Providers may question the lack of an increase on half hourly rate, however, analysis of travel time and living wage increases indicate the existing half hour rate is sufficient to cover market inflation costs.

The perceived risk for not inflating existing rates, as noted earlier, is the living wage will increase to £7.20 in April 2016. Failure to increase our rate accordingly increases the likelihood of non-compliance with the Care Act; our fees could be deemed to be below the amount which is sustainable for providers in the long term.

All costs associated with the proposed rate increase (£2.1 million) have been factored into the County Council's Medium Term Financial Strategy.

List of Background Papers

Paper	Date	Contact/Tel
None		
Reason for inclusion in Part II, if appropriate		
N/A		

Report to the Cabinet Member for Highways and Transport
Report submitted by: Director, Lancashire Highways Service
Date: 3 February 2013

Part I

Electoral Divisions affected:
All

Residents Parking Schemes: Administration and Charges

Contact for further information:
Paul Riley, 01772 530143, Parking Services Manager,
paul.riley@lancashire.gov.uk

Executive Summary

This report describes the administration process and charges relating to resident parking schemes in Lancashire. Given the number of locations involved this item is considered to be a key decision. Following a review of the administration and charges relating to residents parking schemes a number of changes are proposed to establish a more integrated and uniform management and charging regime initially in the 7 areas administered by the County Council.

This is deemed to be a Key Decision and the provisions of Standing Order No. 25 have been complied with.

Recommendations

The Cabinet Member for Highways and Transport is recommended to approve;

- (i) that the Designation of On-Street Parking Charges Order 2015 be amended to refer to a standard permit charge of £25 per resident and visitor permit be applied to resident parking schemes which are administered by the county council,
- (ii) that the Designation of On-Street Parking Charges Order 2015 be proposed to be amended in relation to Burnley, as detailed in the report and that a consultation process for this change be undertaken,
- (iii) that the Designation of On-Street Parking Charges Order 2015 be proposed to be amended in relation to Fylde, as detailed in the report and that a consultation process for this change be undertaken,

- (iv) that the Parking Places Order for Hyndburn be proposed to be revoked and that a consultation process for this change be undertaken,
- (v) the revocation of the Hyndburn resident parking scheme in the Designation of On-Street Parking Charges Order 2015 be proposed and that a consultation process for this change is undertaken, and
- (vi) that a further report be prepared following discussions with the other 5 district councils of the implications of administration of residents parking schemes being carried out by the County Council rather than at some of the District Councils.

Background and Advice

The power to create residents parking zones rests with the County Council. An Order by the County Council exists known as the Designation of On-Street Parking Charges Order 2015 and refers to each place where there is residents parking in the County giving details of the parking restrictions. There are then further Orders by the County Council referred to as the Parking Places Orders setting out the eligibility rules for getting a permit to park. The administration of each scheme is either with the County Council or delegated to the relevant District Council.

The County Council has recently undertaken an exercise of consolidating all traffic regulation orders, where an on-street charge applies, into the district wide Parking Places Orders. The key driver for this exercise was to ensure that the eligibility rules for all the schemes introduced over a 25 year period were made clear and consistent. The Orders are now all made under Sections 45 and 46 of the Road Traffic Regulation Act 1984 (RTRA).

A consequence of the new Orders is that residents who are also blue badge holders will be entitled to one free permit (either a resident or a visitor permit) but blue badge holders who are not residents are still not entitled to park within the scheme.

These new rules apply to the resident parking schemes even in the 5 districts where power to administer the scheme is, with the County Council's consent, with the District Councils. The Order for the Hyndburn area requires amending as detailed below in the report. The Designation of On-Street Parking Charges Order 2015 also requires amending as detailed below in the report.

Parking Services currently administer the resident parking permits in seven district areas with a total of 13 schemes in operation. The charging regime and administration rules are different in each of these 7 district areas. This is because these are historical schemes that were implemented and managed by the relevant district council prior to the county council taking on the administration.

It is recommended that a standard permit charge to complement the recent revision of the rules for residents parking schemes is now applied. The permit charge is set

by the county council's Designation of On-Street Parking Charges Order 2015 and the changes to the permit charge initially in the seven areas administered by the County Council proposed in this report would require an amendment to this order.

District	Permits Sold	Permit allocation	Current Charge	Current Income	Proposed Permit allocation	Proposed Charge	Estimated Income assuming no reduction in permits sold	Estimated income assuming 50% reduction in permits sold
Burnley (7 schemes)	198	3 Resident	1st Resident	£15.60	2	£25	£4,950	£2,475.00
	45		2nd & 3rd Resident	£26.00				
	307	1 Visitor	Visitor	Free	2	£25	£7,675	£3,837.50
Fylde (1 scheme)	232	2 Resident	Resident	£5.00	2	£25	£5,800	£2,900.00
	212	2 Visitor	Visitor	£5.00	2	£25	£5,300	£2,650.00
Hyndburn (1 scheme)	3	1 Resident	Resident	£25.00	1	£25	£75	£37.50
	1	1 Visitor	Visitor	£25.00	1	£25	£25	£12.50
Ribble Valley (1 scheme)	26	1 Resident	Resident	£40.00	1	£25	£650	£325.00
West Lancs (3 schemes)	116	1 Resident	Resident	£25.00	1	£25	£2,900	£1,450.00
	168	1 Visitor	Visitor	£10.00	1	£25	£4,200	£2,100.00
Totals	1308			£12,198.80			£32,700	£16,350

Table 1 – Parking Services administer resident parking schemes

It is advised that the county council sets charges at a level it considers is reasonable, i.e. a value that will cover the whole cost of the schemes it administers (including maintenance, administration and reasonable enforcement).

Charging and Administration – standard charge for resident and visitor permits

Table 1 above provides the details of the schemes administered by parking services, including the number of permits per property, the current charges and the number of permits issued. There are currently 1300 resident permits issued annually with an income of £12k.

The current charges do not have any consideration of the costs involved with enforcing these zones. The proposed charge is a step towards covering the cost of providing the reasonable enforcement for all of these schemes.

The introduction of a permit scheme is primarily to benefit the residents within the scheme and it is reasonable that the permit price should at least reflect the investment required in any scheme. Costs include, administration of the permit scheme by council staff, maintenance of signs and lines on the highway network, the increased enforcement required by civil enforcement officers and a contribution to the cost of the permit software used exclusively for resident's permits.

Taking all the information available it is suggested that the appropriate charge would be £25 per resident or visitor permit. It is possible that the proposed charge of £25 would still not fully cover the cost of enforcement but the £25 is a permit charge that will be introduced with the intention that it will be reassessed annually. This will enable the county council to determine the true cost of administration and all other associated costs in order to set a properly calculated appropriate charge to cover these costs. The county council is not setting a permit charge that is designed to make a surplus, but it is advised that if a surplus is made then any additional income is governed by Section 55 of the Road Traffic Regulation Act 1984 and this surplus must only be spent on traffic management and highway improvement related matters.

Applying a standard charge of £25 would increase the income to £33k assuming no reduction in permits issued. Where the current charge is below this level the charge will be increased and where the current charge is greater than the proposed standard charge, the charge will be decreased. This £33k is expected to cover the costs including the reasonable enforcement. The proposed charge of £25 will be introduced on 1 April 2016 for those schemes administered by the County Council.

The proposed review may result in the standard permit charge decreasing in future from the proposed £25 charge depending on the results of the reassessed costs. The county council will review the income and expenditure on an annual basis in order to set the standard resident and visitor permit charge at an appropriate level.

A comparison of other authority resident permit charges are include in Table 2 below. The authorities are either neighbouring local authorities or those whose information is available through benchmarking arrangements. Two authorities provide free permits and of those that charge the average charge is just over £24 with a range from £12.50 to £30.

Table 2 – Other local authority resident permit charges

Authority	Permit Charge
Blackburn	£30
Blackpool	£12.50
Bury	£30
Calderdale	£25
Derbyshire	£26
Hereford	£25
Leicester City	£25
Leicestershire	£30
Northamptonshire	£25
Nottingham	£25
Rochdale	Free
Rutland	£15
Sefton	£30
St Helens	Free
Stoke	£18
Wigan	£17.50

Table 3 – Recommended changes

Table 3 below sets out proposed charges and recommended changes to the permit allocation and/or permit type.

District	Permit allocation	Current Charge	Proposed allocation	Proposed Charge
Burnley (7 schemes)	1st Resident	£15.60	2 Resident	£25.00 per permit
	2nd & 3rd Resident	£26.00		
	1 Visitor	Free	2 Visitor	
Fylde (1 scheme)	2 Resident	£5.00	2 Resident	£25.00 per permit
	2 multi-use visitor	£5.00	2 Annual Visitor	
Ribble Valley (1 scheme)	1 Resident	£40.00	1 Resident	£25.00
West Lancs (3 schemes)	1 Resident	£25.00	1 Resident	£25.00 per permit
	1 Visitor	£10.00	1 Visitor	

Amendments required to the Designation of On-Street Parking Charges Order 2015 and Parking Places Orders

In Burnley records suggest that residents may be applying for a free visitor permit and using it themselves and then indicating that the one visitor permit was not sufficient. The proposed overall allocation per property remains at four permits and charging for visitor permits will address the issue of residents applying for the one free permit only. It is proposed that the Orders be amended to introduce the charges for visitor permits.

The Fylde multi-use visitor card which allows for 14 visits increases the amount of administration as the cards need to be regularly exchanged and therefore a change to an annual permit would reduce this administration work. It is proposed that the Order be amended to introduce the annual permit.

It is proposed that the Hyndburn scheme should be removed from the Orders. There are 20 eligible properties and there are approximately 20 parking spaces available within the scheme, only 3 resident and 1 visitor permits have been purchased for the year. The previous year's permits sold were only 5 residents and 2 visitors. Recent enforcement visits indicate that the scheme isn't being misused and that therefore the scheme is not required as it is not being fully used by the residents and is therefore a poor use of kerb space. It is proposed the reference to this location for residents parking places be revoked from the Orders.

Changes to Resident Parking Schemes

Any significant changes to a scheme would require an amendment to either the parking places order or the designation order. This is because the details such as eligible properties, the type and allocation of permits, and the charges have been included within one of these orders. .

The district councils have been advised that any proposed changes to permit prices must be approved by the county council and that they cannot be applied until the designation order has been amended. It is also recommended that the county council will only amend the designation order once per year and therefore district councils may need to wait until the county council is amending the order to introduce any changes.

The changes set out in the report will require the following processes in order to introduce the changes:

1. Changes to the permit charges can be varied by a notice under Section 46A of the Road Traffic Regulation Act and do not require any consultation process.
2. The changes to the Burnley schemes permit allocation of 3 Resident and 1 Visitor permits to 2 Resident and 2 Visitor permits will require a consultation and consideration of objections process before the order can be amended.

The revocation of the Hyndburn scheme will also require consultation and consideration of any objections before this can be revoked.

District Council Administered Schemes

The administration of resident permits in Lancaster, Preston, South Ribble, Chorley and Pendle is undertaken by the relevant district council. There is a variation in these charges that has arisen over time due to the variation in administration costs across these districts. This variation in charges is not ideal and the county council needs to take action in order to address by ultimately setting a standard charge and administration rules across of the resident parking scheme. The district councils of Lancaster, Preston, South Ribble, Chorley and Pendle have authority under the existing Street Services Agreements to undertake the administration of resident parking schemes. These agreements are currently being renegotiated as new Public Realm Agreements.

As part of these negotiations the implication for centralising the administration of these schemes will need to be considered as there may be financial implications for the district councils and also possible TUPE implications for members of their staff.

A further report providing the full implications of any centralisation of administration along with a plan to address the variances in charges will be presented once the outcomes of the public realm negotiations have been considered.

Consultations

N/A

Implications:

This item has the following implications, as indicated:

Financial

- (i) Based on current permit numbers issued the proposed standard charge rate of £25 would generate £21K additional income. This is proposed to cover enforcement and other costs. Permit numbers may reduce as a result of the change to charging rates, this will be reviewed as part of the overall admin and charging implementation plan (further details below) with measures taken to mitigate any loss of income but not intended as a fiscal measure .
- (ii) The changes to the permit allocations in Burnley may have a small financial benefit to the Authority as although a large number of free visitor permits are currently issued (307), it is predicted this would fall once the £25 fee is in place. Burnley currently has only 7 schemes in place.
- (iii) The removal of the Hyndburn resident parking scheme will result in a small loss of income of £100 to the Authority (currently 4 permits are issued per year) however this will be offset by savings in administering the scheme.

Legal

The need for consistency and standardised charges is clear. The need to review said charges is also clear.

The charges set must reflect the costs they can cover and cannot be a revenue raising exercise.

If the standard charge does create a surplus, legislative rules apply as to what that surplus may be spent on.

The proposed changes to the Orders require consultation.

List of Background Papers

Paper	Date	Contact/Tel
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None

Reason for inclusion in Part II, if appropriate

N/A

Report to the Cabinet Member for Highways and Transport
Report submitted by: Head of Service, Policy, Information and Commissioning
(Live Well)
Date: 3 February 2016

Part I

Electoral Divisions affected:
Preston Central South; and
Preston City

Proposed Cycle Tracks, Ringway, Corporation Street and Fleet Street, Preston (Appendix 'A' refers)

Contact for further information:

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Executive Summary

The 2014/15 Road Safety Programme includes funding of £4,886 to improve safety for vulnerable road users at this location. Proposals have now been developed to provide off-carriageway cycle facilities around the junction of Ringway, Corporation Street and Fleet Street, Preston.

The provision of such facilities at this major junction will assist in encouraging cycling within Preston city centre.

The total cost of the proposals is £12,900. The proposals would be funded jointly from the County Council's 2014/15 Road Safety Allocation at a cost of £2,900 and Section 106 funding from Preston City Council totalling £10,000.

This report outlines the proposals and describes the results of a public consultation.

This is deemed to be a Key Decision and the provisions of Standing Order No. 25 have been complied with.

Recommendation

The Cabinet Member for Highways and Transport is asked to:

1. Approve a revised allocation of £2,900 from the 2014/15 Road Safety Programme;
2. Approve the addition of Section 106 funding with a value of £10,000 from Preston City Council to the 2014/15 Road Safety Programme; and

3. Approve the removal of footways and the construction of cycle tracks over which the public have a right of way on foot, on the following lengths of road, and as identified at Appendix 'A':
 - 3.1 Cycle track length A, Ringway, north side, from the junction with Corporation Street, eastwards for a distance of 7 metres.
 - 3.2 Cycle track length B, Corporation Street, east side, from the junction with Ringway, northwards for a distance of 43 metres.
 - 3.3 Cycle track length C, Corporation Street, west side, from the junction with Ringway, northwards for a distance of 12 metres.
 - 3.4 Cycle track length D, Ringway, north side, from the junction with Corporation Street, westwards for a distance of 77 metres.
 - 3.5 Cycle track length E, Ringway, south side, from the junction with Corporation Street, westwards for a distance of 11 metres.
 - 3.6 Cycle track length F, Corporation Street, west side, from the junction with Ringway, southwards for a distance of 26 metres.
 - 3.7 Cycle track length G, Corporation Street, east side, from the junction with Ringway, southwards for a distance of 19 metres.
 - 3.8 Cycle track length H, Ringway, south side, between Corporation Street and Fleet Street.
 - 3.9 Cycle track length I, Un-named Road, south side, from the junction with Fleet Street, westwards for a distance of 49 metres.
 - 3.10 Cycle track length J, Fleet Street, south side, from the junction with an un-named road eastwards for a distance of 21 metres.
 - 3.11 Cycle track length K, Fleet Street, north side, from the junction with Ringway, eastwards for a distance of 25 metres.
 - 3.12 Cycle track length L, Ringway, south side, from the junction with Fleet Street, eastwards for a distance of 32 metres.

Background and Advice

The Ringway junction with Corporation Street and Fleet Street is a strategic junction within Preston city centre. During 2013 the County Council implemented public realm improvements at the junction. These included the provision of high quality paving materials, landscaping works and removal of unnecessary street furniture. Existing traffic signals were also upgraded to include toucan crossings for future use by cyclists.

The County Council is now proposing to provide off-carriageway routes for cyclists around the junction. This is particularly designed to benefit those cyclists who may feel vulnerable cycling in the carriageway at this location. This will assist in encouraging cycling within Preston city centre. In addition, the recently completed Fishergate Central Gateway Phase 1 shared space scheme links the proposed cycle tracks with Preston railway station, further enhancing opportunities for sustainable travel.

There is insufficient width for both the new cycle tracks proposed and the existing footways. It is therefore proposed to remove the footway lengths. This is an important decision as under S66 Highways Act 1980 the Highway Authority has a duty to provide proper and sufficient footway for use by the public on foot only, where necessary or desirable for the safety or accommodation of pedestrians. A footway must have been considered necessary or desirable in the past as one has been provided. It is therefore proposed to construct a cycle track but of such a width and standard that it can be used by both cyclists and pedestrians. Due consideration has been given to safety of all users.

The width of proposed cycle tracks A, B, C, D, E, F, G, H, J and K would be as follows:

Cycle track length A	-	3.5 metres
Cycle track length B	-	2.8 metres minimum
Cycle track length C	-	Varies 2.5 to 4.6 metres
Cycle track length D	-	3.3 metres minimum
Cycle track length E	-	4.2 metres
Cycle track length F	-	3.9 metres
Cycle track length G	-	2.9 metres minimum
Cycle track length H	-	3.0 metres minimum
Cycle track length J	-	Varies 2.6 to 4.7 metres
Cycle track length K	-	3.0 metres minimum

At the junction concerned, the above widths are considered adequate for pedestrians and cyclists to share.

There are however 2 locations where the space available results in a narrower width. Cycle track length I is an irregular shape. It has an average width of 2.9 metres although there are isolated pinch points of 1.8 and 2.1 metres. However, at this location the footway is flush with the adjacent carriageway of the un-named road, vehicular access onto this un-named road is restricted by rising bollards and traffic flows are therefore minimal. Site observations show this area is treated as a shared space, and as such it is deemed that sufficient width exists for pedestrians and cyclists to share.

Cycle track length L, at 2.2 metres width, is below that which would usually be considered for use as a cycle track with right of way on foot. However, whilst pedestrian flows on certain arms of the junction are high, pedestrian flows along length L are observed to be low. In addition, this length is only intended for cyclists

travelling in a westbound direction. There is no adopted highway verge at this location into which the existing footway could be widened prior to creation of the cycle track. Consideration has been given to consulting with the adjacent landowner regarding the dedication of extra land for highway purposes in order to create a wider footway. However, due to the presence of a boundary wall and tree roots, it would not be possible to provide a cycle track of width that was continuously significantly wider than 2.2m. Neither would it be appropriate to restrict the width of the Ringway carriageway at this location in order to widen the existing footway.

The provision of cycle track length L would allow cycle access onto the other off-road facilities proposed around the junction. By providing an alternative off-road route for cyclists the risk of collisions between cyclists and vehicles turning left from Ringway into Fleet Street would also be reduced. The potential for such collisions, particularly involving Large Goods Vehicles, is a safety concern at junctions of this type. On balance therefore, whilst below the preferred width, given its relatively short length, low pedestrian flow and potential benefit to the safety of cyclists, it would be appropriate to provide cycle track length L.

Consultations

A public consultation was carried out during January 2015.

The following individuals or groups have been consulted, none of whom have raised any objections to the proposals:

- 1) Lancashire County Council's Members for the electoral divisions affected
- 2) Lancashire Police
- 3) CTC (Cyclists Touring Club)
- 4) University of Central Lancashire Cycling User Group
- 5) The occupiers of adjacent premises

Implications:

This item has the following implications, as indicated:

Risk management

Without implementation of the proposals detailed in this report, there will be less opportunity for safe and effective sustainable travel within the local area concerned.

Financial

The estimated cost of providing the cycle tracks detailed in this report is £12,900. It is proposed to fund this with a revised contribution of £2,900 from the County Council's 2014/15 Road Safety Allocation and a £10,000 Section106 agreement contribution from Preston City Council.

Legal

The legal procedure to convert a footway to a cycle track is under Section 66 of the Highways Act to remove the footway and under Section 65 to construct a cycle track, although this may involve little actual physical work.

Under Section 66 the Highway Authority is under a duty to provide proper and sufficient footways by the made-up carriageways where it is considered necessary or desirable for the safety or accommodation of pedestrians. In this case it is considered that footways for pedestrians only are no longer desirable as the proposed cycle tracks will include a right of way for pedestrians wide enough for cyclists and pedestrians to safely share.

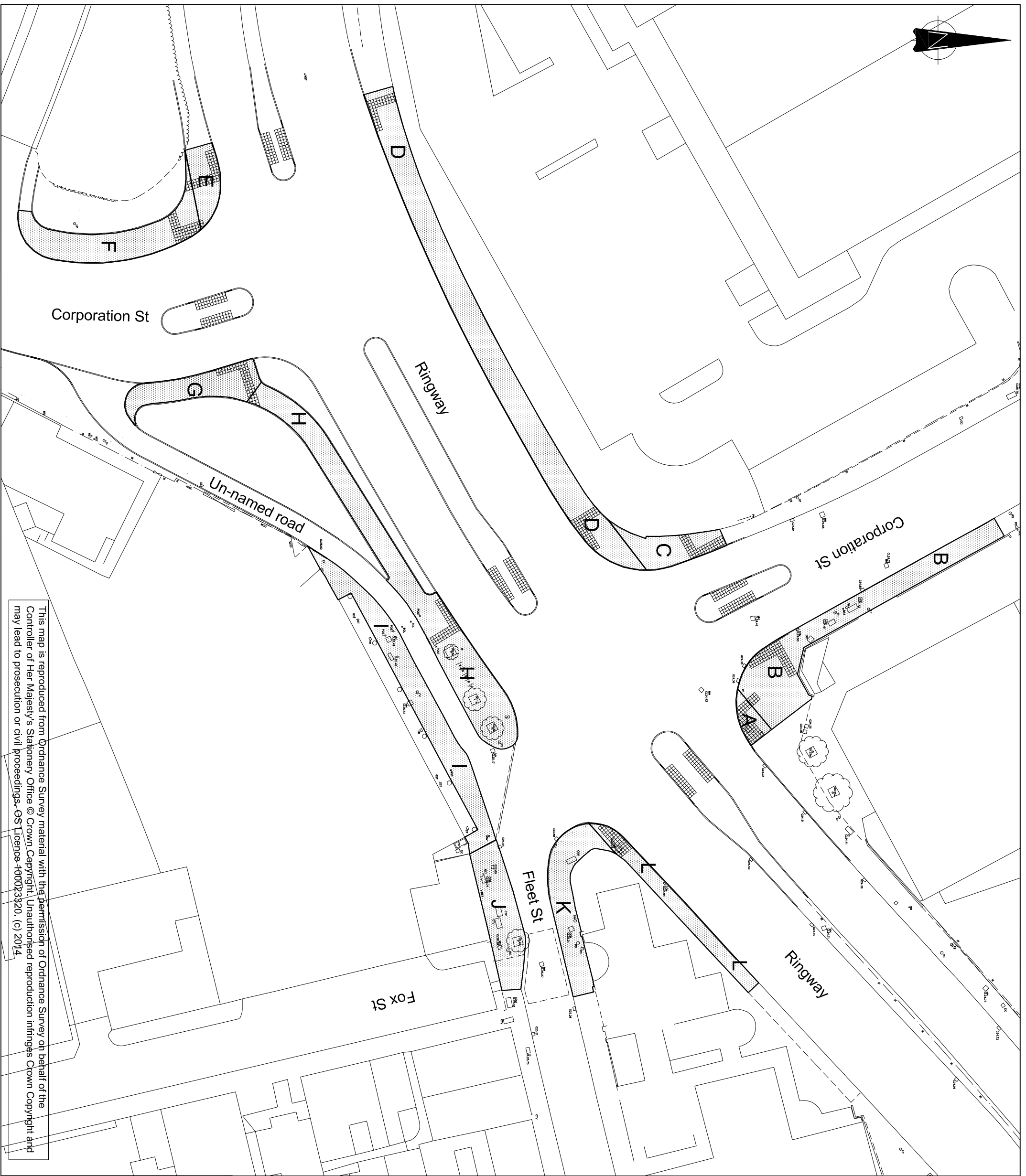
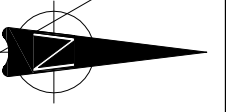
List of Background Papers

Paper	Date	Contact/Directorate/Tel
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None

Reason for inclusion in Part II, if appropriate

N/A



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KEY

Proposed length of cycle track with right of way on foot

Appendix A

NO.	DATE	REVISION/DETAILS	CHECKED BY	DRAWN BY

Design and Construction	
PROJECT TITLE RINGWAY/CORPORATION STREET, PRESTON ADDITIONAL CYCLE FACILITIES	
DRAWING TITLE CABINET MEMBER REPORT APPENDIX A	
DRAWN BY DD	PROJECT NO. CHM1EVA45
CHECKED BY DD	DRAWING NO. CHM1EVA45/05
DATE Feb 2015	SHEET NO. 1 of 1
SCALE @ A3 1:500	CLIENT NO.

Report to the Cabinet Member for Highways and Transport
Report submitted by: Director of Community Services
Date: 3 February 2016

Part I

Electoral Divisions affected:
All

Proposed Preston Bus Station and On-Street Parking Charges

(Appendix 'A' refers)

Contact for further information:

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Executive Summary

A review of the Preston bus station car park pay and display charges and permit charges, Preston on-street pay and display charges and Lancaster on-street pay and display charges has taken place and the following recommendations are made.

This is deemed to be a Key Decision and the provisions of Standing Order No. 25 have been complied with.

Recommendation

The Cabinet Member for Highways and Transport is asked to approve:

- (i) that negotiations to introduce a pay by phone option for both on-street parking and the Preston bus station car park are progressed and that district councils be encouraged to join this scheme to implement a single county wide system,
- (ii) that the recommended changes to the bus station car park permits and permit charges set out in this report are approved and that the relevant consultation and legal process is followed,
- (iii) that the bus station pay and display charges and bandings are amended in line with this report following the required legal process,

- (iv) that the proposals for blue badge parking on the bus station set out in this report are approved and that the relevant consultation and legal process is followed,
- (v) that the on-street pay and display parking charges in Lancaster are increased as set out in this report and the relevant legal process is followed in order to introduce these changes, and
- (vi) that the management of the on-street pay and display machines in Lancaster is brought back in-house.

Background and Advice

Lancashire County Council became responsible for the Preston bus station car park on 1 April 2014; the car park was previously owned and managed by Preston City Council. Situated at the eastern end of the city centre on Tithebarn Street, the multi-storey car park, which is above the bus station, has nine levels and approximately 1170 spaces. Based on capacity, it is the largest car park in Preston city centre; the next largest car parks are at the railway station (939 spaces) and Fishergate shopping centre (730 spaces).

The car park primarily attracts people who are working in the city centre and park all day; this is reflected in the Pay & Display (P&D) ticket purchase data. All day parking is encouraged by the availability of reduced-rate permits for those using the car park on a regular basis, although the take up of these permits is relatively low by individual applicants. A significant number of discounted permits are sold to employees of the Department of Work and Pensions (DWP), Her Majesty's Revenues and Customs (HMRC) and the Crown Prosecution Service (CPS).

Current use

The top three levels (7, 8 and 9) of the car park have been leased to the Guildhall which equates to approximately 400 spaces. These levels are available for LCC staff parking Monday to Friday 7am to 7pm, as well as those authorised to park by the Guildhall. The number of available spaces on Levels 1 - 6 is 770. It is estimated the current occupancy of levels 1 - 6 is around 60%.

On a typical day there are between 200 - 250 motorists using the P&D option with a typical ticket value of £3.20 which indicates that the majority of motorists are parking for four hours or longer. In addition there are approximately 200 - 250 permit holders using the car park on a daily basis. Making the average number of users between 400 – 500 vehicles excluding staff parking.

Payment method options

Given their age and condition, the existing pay and display machines need to be replaced as soon as is practicable. This would provide an opportunity to consider alternative methods and options.

Although a pay on foot/exit solution would provide a number of benefits to customers such as being charged only for time used with no risk of being issued with a Penalty Charge Notice for overstaying. This option also reduces the requirement for enforcement by Civil Enforcement Officers, but it does however have additional costs in that the car park needs to be staffed 24 hours in order to deal with any machine or barrier failure that may prevent motorist from exiting the car park. In order to alleviate such problems the majority of sites using this option would have at least two exit barriers side by side at all exit points. The layout of the existing internal and external access ramps limit the availability of space to provide such a set up. Therefore this option is unsuitable for the bus station car park.

Consideration is currently being given to introduce a pay by phone option which could be introduced at no cost to the council. Discussions are currently taking place to see if district councils would also join the scheme in order to provide a county wide option that would simplify parking payments for residents throughout the county.

The introduction of such a scheme would allow for the number of pay and display machines per level to be reduced on the basis that a significant number of users would use the pay by phone option. As well as pay by phone this option also provides a web app and webpage where payments can also be paid.

A proactive introduction of the pay by phone option along with a promotion of the availability of permits would increase the usage to these options and support the reduction in the number of pay and display machines required.

On this basis it is recommended that the preferred payment options is for the use of pay and display machines in conjunction with a pay by phone option and the continued use of permits. Given the alternative option of pay by phone and permits it is considered that only one pay and display machine would be required on each level.

Pay by phone option

This payment method can be introduced as one of the service improvements offered in the NSL parking enforcement contract which started in September 2014. The contractor will implement the system and also provide sufficient signs to promote the scheme and also advise users how to operate the scheme. The customer would pay the normal P&D charge and an additional fee of 20p per transaction, plus a 10p charge if a confirmation text is required and an additional 10p charge if a text reminder of impending expiry is required.

The enforcement officers will be able to make live enquiries on parked vehicles via the existing hand held equipment resulting in efficient and effective enforcement activity.

Current available permits

There are currently 178 quarterly permit holders, of which 150 are purchased by the DWP. This equates to 135 daily users when allowing for annual leave and

weekends. The remainder of these permits are purchased by individual members of the public.

Staff working at DWP, CPS and HMRC can also purchase multi-use permits which allow parking on ten separate dates. These were introduced by the city council in order to accommodate part-time workers at these companies. There are approximately 300 registered users but the permit sales indicate that around 100 people are parking daily using a multi-use card.

Table 1 – Summary of existing permit types and charges

Permit Type	Eligible users	Number of users	Annual number sold	Cost	Total income	Net (Excluding VAT)	VAT Element	Cost per daily parking session
10 Strip multi use cards	HMRC, DWP, CPS staff only	150	2800	£25.00	£70,000	£58,334	£11,666	£2.50
Quarterly Permits	General user	7	28	£180.00	£5,040	£4,200	£840	£3.10 *
	DWP	150	600	£153.19	£91,914	£76,595	£15,319	£2.64 *
Pay & Display	All	n/a	n/a	n/a	n/a	n/a	n/a	£4.00

*These figures are for comparison purposes only and assumes annual parking sessions of 232 days allowing for weekends and leave
All prices include VAT

It is evident from Table 1 that the quarterly permits are not very popular other than with the DWP who pay a discounted rate based on the volume of permits they purchase. The 10 strip multi use card is more popular and the reason for this would be that the daily cost for parking equates to £2.50 whereas the quarterly permit is £3.10. The frequent renewal of multi-use cards should not be a cheaper option than the quarterly permits given the additional administration work these permits create for the county council.

There are a number of private, non-committal car parks set up on private land where the all-day parking charge is £2.00. Although each individual site is relatively small these alternative parking sites do impact on the main car parks within the centre. As these car parks are already full it is not considered that they would impact on the bus station car park any further.

Proposed Permit Charges

Table 2 below sets out recommended changes to the permits eligibility and charges. The main changes are to the cost of the multi-use card and opening this facility up to all motorists rather than just those employed by the HMRC, DWP and the CPS. Increasing the charge to £35 may result in a drop in existing users and the proposal to allow anyone to buy these permits will reduce the council's income from P&D but the benefit is that it should encourage more regular users. On this basis, no additional income is being accounted for at this time due to the uncertainty around the level of usage. The multi-use card does cause a number of issues with users

completing the card incorrectly and it is also a large administrative process that should be reduced. It is therefore proposed that these permits will only be available as part of the pay by phone system where users purchase 10 sessions at a time, to secure the multi-use discount, but they will still need to register on each day that they park to ensure they do not get issued with a penalty charge notice.

The other main change proposed is the introduction of an annual permit at £670. It is proposed that these permits and the existing quarterly permits will be processed through the pay by phone system only.

It is recommended that these permit changes and increase in charges are introduced on 1 April 2016 or as soon as is practicable after this date.

Table 2 – Summary of proposed changes to permit types and charges

Permit Type	Eligible users	Number of users	Annual number sold	Cost	Total income	Net (Excluding VAT)	VAT	Cost per daily parking session
10 Strip multi use cards	All	150	2800	£33.00 Permit	£92,400	£77,000	£15,400	£3.30 Permit
				£2.00 fee	£5,600	£4667	£933	20p fee
Quarterly Permits	All	7	28	£180.00	£5,040	£4,200	£840	£3.10 *
Annual Permits	All	0	0	£670.00	£0			£2.89 *
Annual Permits	DWP	150	600	£155.00	£93,000	£77,500	£15,500	£2.64 *
Pay & Display	All	n/a	n/a	n/a	n/a	n/a	n/a	£4.00

*These figure are for comparison purposes only and assumes annual parking sessions of 232 days allowing for weekends and leave
All prices include VAT

Pay and display charges

The P&D income for 2014-15 was £256k (excluding VAT). The projected income for 2015-16 is £260k (excluding VAT) based on April to October income.

Table 3 sets out the current charges at the bus station car park and provides a comparison to the other main car parks in the city centre.

Table 3 – Summary of existing bus station and other main car park charges

	LCC	Private sector		Preston City	
	Bus station	Fishergate centre	St Georges Centre	Avenham Multi Storey	Market Multi Storey
< 1hr	£1.20	£1.30	£1.30	£1.30	£1.20
< 2hr	£2.00	£2.00	£2.00	£2.00	£2.00
< 3hr	£2.70	£2.50	£2.50	£2.70	£2.50
< 4hr	£3.50	£3.50	£3.50	£3.50	£3.00
< 5hr	n/a	£4.50	£4.50	n/a	n/a
< 12 hr	£4.00	£7.50	£8.00	£4.00	£4.00
24 hr	£6.00	n/a	n/a	£6.00	£6.00

The current charges at the car park are in line with the city council's charges and slightly lower than the private sector charges. In order to simplify the tariff and encourage leisure and shopper parking to the city centre it is recommended that the number of charging bands is reduced. Table 4 sets out the proposed banding widths and associated charges. Although this does slightly increase the charge for those who previously paid for 1 or 3 hours it would encourage them to stay longer whilst reducing the cost for those who previously paid for 2 or 4 hour parking. There is no change for the 12 or 24 hour parking charges. It is not anticipated that these changes will have any overall effect on the car park income. Given the age of the existing machines it is recommended that these charges can only be introduced if new machines are purchased. This would allow for the machines to be in place in time to introduce the new charges from 1 April 2016 or as soon as is practicable after this date. The estimated cost of these machines including fixing and commissioning is £35k which will be funded from existing budgets.

Table 4 – Proposed bus station car park charges

Bus Station Car Park	
up to 2hrs	£1.60
2 - 4hrs	£3.20
up to 12hrs	£4.00
24 hours	£6.00

Blue badge parking

Blue badge parking is currently provided free of charge in any bay in the bus station car park. Subject to county council consent, the city council will introduce a time restriction on their car parks for blue badge holders. Such consent is capable of being granted in accordance with the Scheme of Delegation and it is understood that the report is currently being prepared. The city council's proposal is that Blue badge holders will only be able to park in city council designated disabled bays and these will be time limited to 3 hours with a no return period of 8 hours. Blue badge holders

parking in any other bays will be expected to pay the normal charge. In view of the city councils proposed changes it is recommended that the county council make similar arrangements at the bus station to those that the city council is introducing on their car parks.

An Equality Analysis assessment (Appendix A) of these changes has been made and is attached to this report. If the recommendation is approved then further consultation and assessment of these changes will take place as part of the Traffic Regulation Order making process.

The current number of disabled bays in the car park is 16. This will be increased to 25 as part of the car park improvement works. This will bring the number of disabled bays in line with the recommended provision as set out by Disabled Motoring UK (a campaigning charity for disabled drivers, passengers and blue badge holders who influence change through lobbying)

On-street pay and display charges

On-street charges

The current and proposed on-street charges in Preston and Lancaster are set out in Table 5 with a comparison to the off-street charges.

Table 5 – Summary of existing and proposed on-street parking charges

	Current Lancaster on-street	Lancaster off-street	Proposed Lancaster on-street	Current Preston on-street	LCC proposed off-street	Preston off-street	Proposed Preston on-street
1/2 hour	70p	n/a	80p	70p	n/a	n/a	70p
1 hour	£1.40	£1.30	£1.50	£1.40	n/a	£1.20	£1.40
2 hour	£2.30	£2.40	£2.60	n/a	£1.60	£2.00	n/a

The recommendation is that there is no change to the on-street charges in Preston as there is already a sufficient differential between the on- and off-street charges to meet our traffic management objectives of encouraging vehicles to park in the off-street car park provision rather than parking on-street.

For these traffic management objectives it is proposed to increase the on-street charges in Lancaster given the small differential in the 1 hour charge and that the 2 hour charge is currently less than the off-street charge, and that these charges should be implemented in April 2016.

The proposed on-street charge increase has been discussed with officers at Lancaster City Council who support these changes as they are in line with their initial off-street proposals and maintain the differential in on- and off-street charges.

There is a long standing arrangement with Lancaster City Council that they manage the on-street pay and display machines in Lancaster and also handle all requests for

on-street parking dispensation on behalf of the county council. The net cost of this was £8.7K to the county council last year. The county council's parking services team could accommodate this work within existing resources which would produce a saving of £5k. Therefore it is recommended that the current working arrangement with Lancaster City Council is terminated in April 2016.

Consultations

Both Lancaster City Council and Preston City Council have been consulted on these proposals and they have indicated support for them.

Implications:

This item has the following implications, as indicated:

Financial

1. The costs associated with the introduction of a pay by phone option for both on-street parking and the Preston bus station car park are built into the current NSL contract.
2. The recommended changes to the bus station car park permits and permit charges set out in this report would generate a potential additional income of £24K based on current demand levels but no additional income is being accounted for at this time due to the uncertainty around the level of usage.
3. The bus station pay and display charges increases are marginal and would therefore not have a significant impact on the income level currently generated.
4. The proposals for blue badge parking on the bus station would not have a significant impact on the bus station parking income or running costs.
5. The on-street pay and display parking charges increase in Lancaster could generate a potential £18K additional income based on current demand levels.
6. Bringing the management of the on-street pay and display machines in Lancaster back in-house could provide a saving of £5K.

Risk management

An Equality Analysis has been completed in relation to the proposal to introduce charges at the bus station car park for blue badge holders parking for longer than three hours. Further consultation on this matter will be completed as part of the traffic order making process.

List of Background Papers

Paper	Date	Contact/Tel
None		

Reason for inclusion in Part II, if appropriate

N/A

Appendix A

Section 4

Equality

Analysis Toolkit

Changes to Blue Badge parking rules at
Preston Bus Station Car Park

What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision-makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristics are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstances marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed) or EHRC guidance at

<http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty>

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting

AskEquality@lancashire.gov.uk

Specific advice on completing the Equality Analysis is available from your Service contact in the Equality and Cohesion Team or from Jeanette Binns

Jeanette.binns@lancashire.gov.uk

Name/Nature of the Decision

Implementing a time restriction on disabled parking spaces in the Preston bus station car park and only allowing free parking for blue badge holders within a designated disabled person bay.

What in summary is the proposal being considered?

Disabled parking bays will be limited to 3 hours free parking and a no return period of 8 hours will apply. Blue badge holders would be expected to set their time clock to the time of arrival at the car park and would then be limited to a period of 3 hours free parking. This proposal is being put forward in order to ensure that there is a sufficient turnover of these parking bays for all blue badge holders rather than those parking all day and limiting the use for other users.

The current rules allow for a blue badge holder to park in any bay within the car park and still benefit from the free parking provision. The proposal is that blue badge holders will only be entitled to park within designated disabled parking bays if they want to benefit from the 3 hours free parking that it affords.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

The county council only manages one off-street car park throughout the county. The rules within each district council maintained car park are already different from district to district and varies between public and privately owned car parks. The proposal will bring the county council in line with proposals that Preston City Council are introducing on their car parks.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Yes, this decision may impact on disabled persons who have mobility issues and who qualify for a disabled persons blue badge.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the

decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

People with a disability and who are entitled to a blue badge may be affected by this proposal. Only those who currently park for longer than 3 hours will be adversely affected.

Question 2 – Engagement/Consultation

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when.

(Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

The Disability Equality (NW) Ltd have been approached for their views on this matter. Preston City Council went through a consultation exercise with this group when they were considering the same changes and at the start of that consultation the bus station car park was still owned by them, therefore to some extent a consultation on this proposal has already been carried out. The Disability Equality (NW) Ltd were supportive of the changes proposed by Preston City Council at the time and this group has now been asked to confirm their support for the county councils proposals.

Any changes required following a decision on this proposal will require changes to the traffic regulation order. At this point further consultation will take place with relevant groups as part of the traffic regulation order process. Following this consultation the Equality Analysis will be reviewed again.

Question 3 – Analysing Impact

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

Disabled persons who are entitled to a blue badge may be disadvantaged from the current arrangements if they currently park for longer than 3 hours. The impact will be most significant on blue badge holders who are also on low income.

There is no legal requirement to provide free parking for blue badge holders in car parks as the legal benefits afforded by the blue badge scheme only apply to on-street parking. Private car parks in Preston do not provide free parking for blue badge holders and Preston City Council have already made the decision to introduce the changes recommended in the report.

The current charges in the car park are: 1 hr - £1.20, 2 hr - £2.00, 3 hr - £2.70, 4 hr - £3.50, up to 12 hr - £4.00. Although the recommendations in the report are to change these charges to: up to 2 hr - £1.60, up to 4 hr - £3.20, up to 12 hr - £4.00.

The recommendation also protects the interests of blue badge holders in that it limits the free parking provision and provides a turnover of spaces to try to ensure that spaces will always be available should a blue badge holder want to park in the car park. In order to address the demand for the disabled bays the number of bays will be increased from 16 to 25 as part of the car park improvement works. The number of disabled bays will then be in line with the recommended provision as set out by Disabled Motoring UK.

Question 4 –Combined/Cumulative Effect

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits) . Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

Potential cutbacks to bus services may result in more demand for the disabled bays at the bus station car park as blue badge holders who previously used bus services may now need to use their car to visit the city centre.

Question 5 – Identifying Initial Results of Your Analysis

As a result of your analysis have you changed/amended your original proposal?

Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments

Continuing with the Original Proposal – briefly explain why

Stopped the Proposal and Revised it - briefly explain

At this time continuing with original proposal on the basis that the benefits provided by creating a turnover of spaces outweighs the impact on long stay blue badge holders.

The increased number of disabled bays will provide sufficient parking spaces for blue badge holders.

That the proposal is the same as that being introduced by Preston City Council car parks and that 3 hours free parking is still being provided.

Question 6 - Mitigation

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the “due regard” requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

The provision of additional parking spaces to ensure that there is an adequate number of spaces for all blue badge holders wanting to park for up to 3 hours.

Permits are already available to for users of the car park and blue badge holders could purchase these permits in order to reduce the cost of parking. Depending on the subsequent consultation it may be a consideration to offer discounted permits to blue badge holders. It may also be a consideration to provide both the 3 hour limited disabled bays as already mentioned along with long stay disabled bays so that blue badge holders who require the additional space provided by

disabled bays for access can still park for more than 3 hours, but they would be expected to pay for this additional time.

Question 7 – Balancing the Proposal/Countervailing Factors

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

With the proposed Youth Zone being created at the bus station it is envisaged that demand for the car park could increase with visitors to the youth zone. This will increase the demand on the parking provision at the car park and this proposal will ensure a turnover of the disabled bays in order to ensure adequate parking provision is available for all.

Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

That blue badge holders must park within a designated disabled persons parking bay to benefit from a maximum of 3 hours free parking. A no return period of 8 hours will be introduced in order to stop blue badge holders moving between bays in order to park for longer than 3 hours.

Question 9 – Review and Monitoring Arrangements

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Any feedback and complaints will be taken into consideration and a review period will be set following the further consultation.

The enforcement officers and other parking services officers will be able to monitor usage of the disabled bays in order to determine the effects of the proposal.

Further consultation with user groups could also be undertaken after a period of time to evaluate user feedback.

Equality Analysis Prepared By: Paul Riley

Position/Role: Parking Services Manager

Equality Analysis Endorsed by Line Manager and/or Service Head

Decision Signed Off By

Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

Where specific actions are identified as part of the Analysis please ensure that an EAP001 form is completed and forwarded to your Service contact in the Equality and Cohesion Team.

Service contacts in the Equality & Cohesion Team are:

Karen Beaumont – Equality & Cohesion Manager

Karen.beaumont@lancashire.gov.uk

Contact for Adult Services ; Policy Information and Commissioning (Age Well); Health Equity, Welfare and Partnerships (PH); Patient Safety and Quality Improvement (PH).

Jeanette Binns – Equality & Cohesion Manager

Jeanette.binns@lancashire.gov.uk

Contact for Community Services; Development and Corporate Services; Customer Access; Policy Commissioning and Information (Live Well); Trading Standards and Scientific Services (PH), Lancashire Pension Fund

Saulo Cwerner – Equality & Cohesion Manager

Saulo.cwerner@lancashire.gov.uk

Contact for Children's Services; Policy, Information and Commissioning (Start Well); Wellbeing, Prevention and Early Help (PH); BTLS

Pam Smith – Equality & Cohesion Manager

Pam.smith@lancashire.gov.uk

Contact for Governance, Finance and Public Services; Communications; Corporate Commissioning (Level 1); Emergency Planning and Resilience (PH).

Thank you

Agenda Item 9a

(NOT FOR PUBLICATION: By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972. It is considered that all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information)

Document is Restricted

Agenda Item 9b

(NOT FOR PUBLICATION: By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972. It is considered that all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information)

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Agenda Item 9c

(NOT FOR PUBLICATION: By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972. It is considered that all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information)

Document is Restricted

(NOT FOR PUBLICATION: By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972. It is considered that all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information)

Document is Restricted

Agenda Item 9d

(NOT FOR PUBLICATION: By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972. It is considered that all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information)

Document is Restricted

