

## **Lancashire County Council**

### **Cabinet**

**Thursday, 14th September, 2017 at 2.00 pm in Committee Room 'B' - The Diamond Jubilee Room, County Hall, Preston**

### **Agenda**

#### **Part I (Open to Press and Public)**

#### **No. Item**

**1. Apologies for Absence**

**2. Disclosure of Pecuniary and Non-Pecuniary Interests**

Members are asked to consider any Pecuniary and 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 10 August 2017** (Pages 1 - 10)

**4. Minutes of the Meeting held on 21 August 2017** (Pages 11 - 12)

#### **Matters for Decision:**

**5. Lancashire Safeguarding Boards - Annual Report 2016/17** (Pages 13 - 100)

#### **The Leader of the County Council - County Councillor Geoff Driver CBE**

**6. Money Matters 2017/18 Position - Quarter 1** (Pages 101 - 258)

**7. Procurement Report - Request Approval to Commence Procurement Exercises** (Pages 259 - 266)

#### **The Cabinet Member for Economic Development, Environment and Planning - County Councillor Michael Green**

**8. Boost – Lancashire's Business Growth Hub** (Pages 267 - 278)

**9. Housing Infrastructure Fund** (Pages 279 - 284)

**10. Marketing Lancashire** (Pages 285 - 290)

**The Cabinet Member for Highways and Transport - County Councillor Keith Iddon**

11. **Preston City Centre Traffic Management** (Pages 291 - 308)
12. **Additional Highway Maintenance Funding - Proposed Highway Projects and Resources (Planned Works) Programme** (Pages 309 - 316)
13. **Highways and Transport Capital Programmes - Proposed Amendments** (Pages 317 - 326)
14. **Revision of the Tendered Bus Service Network in Lancashire** (Pages 327 - 338)
15. **Proposed shared use cycle track & Toucan crossing - Blackpool Road, Kirkham (Junction with Ribby Rd & Kirkham Bypass)** (Pages 339 - 344)
16. **Trash Screen Code of Practice** (Pages 345 - 358)

**Cabinet Member for Children, Young People and Schools - County Councillor Susie Charles**

17. **Children and Young People's Emotional Wellbeing and Mental Health** (Pages 359 - 370)
18. **Proposed expansion of Barrow Primary School, Clitheroe** (Pages 371 - 398)  
Please note that Appendix E to this report is in Part II and appears as Item 34 on the agenda.
19. **Awarding of Small Grants to Third Sector Groups which are Registered with the Wellbeing, Prevention and Early Help Service, including Grants to individual young people** (Pages 399 - 406)
20. **Refreshed Special Educational Needs and Disabilities Joint Commissioning Framework 2017-2019** (Pages 407 - 432)

**Cabinet Member for Adult Services - County Councillor Graham Gooch**

21. **Implementation of the Care Act 2014 - Approval of Revised Adult Social Care Policies and Procedures** (Pages 433 - 480)

- 22. Supporting Patients Choice to Avoid Long Hospital Stays Policy and Funding Framework** (Pages 481 - 530)

**Cabinet Member for Community and Cultural Services - County Councillor  
Peter Buckley**

- 23. Proposals Relating to Library Buildings** (Pages 531 - 544)

- 24. Revised Library Strategy which incorporates a Revision of Library byelaws and a Proposal to consult on Library Opening hours** (Pages 545 - 568)

**Miscellaneous Matters:**

**25. 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.

**26. Date of Next Meeting**

The next meeting of the Cabinet will be held on Thursday, 12 October 2017 at 2.00 pm at County Hall, Preston.

**27. Notice of Intention to Conduct Business in Private**

No representations have been received.

Click [here](#) to see the published Notice of Intention to Conduct Business in Private.

**28. 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)**

**The Leader of the County Council - County Councillor Geoff Driver CBE**

**29. Senior Management Restructure**

Report to follow

**30. Sale of Former Padiham Primary School, Padiham, Burnley** (Pages 569 - 572)

(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.)

**31. Review of the County Council's Policy relating to the Supply of Halal meat to Schools** (Pages 573 - 638)

(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 Cabinet Member for Economic Development, Environment and Planning - County Councillor Michael Green**

**32. Cuerden Strategic Site Development** (Pages 639 - 690)

(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.)

**Cabinet Member for Children, Young People and Schools - County Councillor Susie Charles**

**33. Lancashire Youth Offending Team's Service Continuous Improvement Plan** (Pages 691 - 738)

(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.)



**34. Appendix E of Item 13 (Proposed expansion of Barrow Primary School, Clitheroe)**

(Pages 739 - 740)

(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.)

Jo Turton  
Chief Executive

County Hall  
Preston





**Resolved:** That,

- i. the County Council's final revenue and capital outturn position for 2016/17 be noted.
- ii. the 2016/17 underspend be transferred to the transitional reserve.

## **5. Procurement Report - Request Approval to Commence Procurement Exercises**

Cabinet received a report in line with the County Council's procurement rules, setting out a recommendation to approve the commencement of a procurement exercise for the Preston Youth Zone Operator.

**Resolved:** That the commencement of the procurement exercise for a Preston Youth Zone operator, as set out in the report, be approved.

## **6. Schools Apprenticeship Levy**

Cabinet considered a report on arrangements for the Schools element of the Apprenticeship Levy.

It was proposed that the Lancashire County Council Skills, Learning and Development (SL&D) service would continue to work with Lancashire Schools through the Lancashire Schools Forum (LSF) to establish working practices to maximise the utilisation of the Schools element of the Apprenticeship Levy. The SL&D service would work with the LSF and others to explore and implement funding options to support this activity.

**Resolved:** That,

- i. Lancashire Schools access Apprenticeship Levy funding through the Lancashire County Council Digital Account.
- ii. The SL&D Service establishes mechanisms for delivery, governance and operating protocols with Lancashire Schools through the LSF.
- iii. SL&D work with LSF to explore funding options to assist in supporting this activity.

## **7. Additional Highway Maintenance Funding – Proposed Apportionment Criteria**

Cabinet considered a report on the proposed criteria that would be used to apportion the additional highways maintenance funding approved by Full Council on 20 July 2017.

**Resolved:** That the proposed criteria as detailed in the report be approved to apportion:

- i. £5 million of additional highway maintenance capital funding approved by Full Council on 20 July 2017 comprising:
  - Highways Projects and Resources (Planned Works) - £3 million.

- Responsive/Reactive Maintenance (Minor works) - £1 million.
  - Preventative Defect Repairs - £1 million.
- ii. The additional highway maintenance revenue funding approved by Full Council on 20 July 2017 comprising:
- Flood Risk (gully cleaning) – 2017/18- £0.300 million / 2018/19 -
  - £0.300 million.
  - Public Realm Improvements

**8. Traffic Calming Scheme and Weight Restriction on Branch Road and Intack lane, Mellor Brook**

Cabinet considered a report on the delivery of a traffic calming scheme and 7.5t weight restriction on Branch Road and Intack Lane in Mellor Brook.

**Resolved:** That the highway works on Branch Road and Intack Lane, Mellor Brook, and the promotion of an associated Traffic Regulation Order to introduce a weight limit, as set out in the report, be approved.

**9. M55 Heyhouses Link Road**

Cabinet considered a report seeking approval to allocate £1.7 million from the Integrated Transport block of the capital programme to support the delivery of the M55 Heyhouses Link Road.

It was reported that the scheme at present had an estimated cost of approximately £21.7 million which required other contributions planned to be provided by Fylde Borough Council, the Lancashire Enterprise Partnership, Highways England, the Department for Transport and Kensington Developments Limited.

It was noted that the County Council's contribution would be subject to all other contributions being secured to fund the estimated cost of the scheme.

**Resolved:** That,

- i. the arrangements for the construction of the Heyhouses Link Road, as set out in the report, be approved.
- ii. an allocation of £1.7million from the indicative Department for Transport 2020/21 Integrated Transport allocation of £6.054 million to support the accelerated delivery of the M55 Heyhouses Link Road be approved.
- iii. it be noted that the County Council as scheme promoter would be bear the financial risk should a scheme outturn cost exceed the value of contributions received.
- iv. a further report be presented in due course to consider a scheme proposal.

## **10. Burnley Town Centre Improvements**

Cabinet considered a report on improvements to Burnley Town Centre which was a jointly funded project between the County Council and Burnley Borough Council.

It was noted that a shortfall in funding had been identified and a further contribution of £325,000 from the County Council was requested to complete the project which would need to be matched by a contribution of £325,000 from the Borough Council.

Consideration was given to alternative measures should Burnley Borough Council not agree its contribution. A commitment was also given to improve future monitoring of this project and enhance engagement on this and other projects with partner bodies.

**Resolved:** That,

- i. an additional £325,000 be added to the 2015/16 Burnley Town Centre Improvements project to be funded from the capital programme, subject to confirmation from Burnley Borough Council of their agreement to provide additional funding of £325,000 towards the project.
- ii. Burnley Borough Council's contribution of £325,000, once received, be added to the 2015/16 Burnley Town Centre Improvement project.
- iii. officers be requested to develop alternative proposals for the additional £325,000 LCC funding should Burnley Borough Council not agree to provide additional funding of £325,000.

## **11. Highways Capital Programme - Proposed Amendments**

Cabinet considered a report setting out amendments to the approved Highways Capital Programme in order to meet emerging priorities and to respond to some unanticipated service demands.

**Resolved:** That the proposed amendments to the Highways Capital Programme, as outlined in Appendix 'A' to the report, be approved.

## **12. National Productivity Investment Fund - Proposed Allocation of Direct Grant Payment**

A report was presented requesting Cabinet approval for £0.200 million of Lancashire County Council's direct grant award of £4.655 million in 2017/18 from a Department for Transport National Productivity Investment Fund (NPIF) to fund detailed design of M65 key Growth Corridor improvements at Junctions 8, 9, 10 and 13 and North Valley Road/Vivary Way in Colne.

**Resolved:** That £0.200 million of the National Productivity Investment Fund direct grant award of £4.655 million be allocated to fund detailed design of improvements to the M65 key Growth Corridor at Junctions 8, 9, 10 and 13 and North Valley Road/Vivary Way in Colne.

### 13. Capital Strategy for Schools 2017/18 to 2019/20

Cabinet considered a report on the schools capital grant allocation for 2017/18 to 2019/20, and the proposed strategy for expenditure, based on the priorities contained within the School Place Provision Strategy 2017/18 to 2019/20.

It was reported that, following publication of the report, two additional projects had been identified requiring urgent funding allocations in order to address immediate condition related remedial works, and it was proposed that the Schools Condition allocation proposals, as set out in the report, be amended to reflect the position as follows.

#### **SCHOOLS CONDITION ALLOCATION**

| <b>CONDITION FUNDING AVAILABLE</b> | <b><u>£000</u></b>   |
|------------------------------------|----------------------|
| Condition Allocation 2016/17       | 11,209               |
| Condition Allocation 2017/18       | 10,956               |
| <b>Total available</b>             | <b><u>22,165</u></b> |

#### **PROPOSED USE OF AVAILABLE CONDITION FUNDING**

Approval to a condition led capital investment programme of £15.950m was given in the report to the Cabinet Member for Children, Young People and Schools on the 5<sup>th</sup> April 2017. It was proposed to adjust the phasing of the allocation as follows:

|   |                      |
|---|----------------------|
| Strategic maintenance of the building stock Priority 1 projects at community and VC schools to be delivered in 2017/18 (previously approved in Cabinet Report dated 5 April 2017 as part of the £15.950m to have been delivered in 2017/18) | 10,000               |
| Further Phase: Strategic maintenance of the building stock plus £5.950m balance of Priority 1 projects (see above) at community and voluntary controlled (VC) schools, both to be delivered in 2018/19                                      | 10,040               |
| Ongoing dry rot remedial works at Colne Lord St PS  | <u>1,500</u>         |
| Ongoing dry rot remedial works at Heasandford PS  | <u>505</u>           |
| Ongoing dry rot remedial works at Peel Park PS  | <u>120</u>           |
| <b>Total proposed use</b>   | <b><u>22,165</u></b> |

**Resolved:** That,

- i. the proposed expenditure priorities for 2017/18 to 2019/20, as set out at Appendix 'A' of the report, as amended, be approved.
- ii. further reports be presented on individual project costs, any further in-year allocations of capital funding and any adjustments to the three year programme as required.
- iii. the inclusion of additional funding be authorised from individual schools into the respective capital project which, in turn, should be added to the capital programme and reported quarterly within the "Money Matters" report.
- iv. the change in phasing of the condition programme be acknowledged.
- v. additional funding of £0.505m, from the Schools Condition allocation for 2017/18, be provided to carry out dry rot remedial works at Heasandford Primary School Burnley.
- vi. additional funding of £0.120m from the Schools Condition allocation for 2017/18, be provided to carry out dry rot remedial works at Peel Park Primary School, Accrington.

#### **14. School Place Provision Strategy 2017/18 to 2019/20**

Cabinet considered a report on the School Place Provision Strategy 2017/18 to 2019/20, setting out the framework for delivery of new places and school capital investment priorities.

In considering the report, some concerns were raised about the figures presented for schools in Pendle, particularly Nelson and Colne, and it was suggested that this information be reviewed by officers.

**Resolved:** That, subject to a review of the figures provided for Pendle and in particular Nelson and Colne, the School Place Provision Strategy 2017/18 to 2019/20, as set out at Appendix 'A', be approved.

#### **15. Secondary Education Provision in Burnley**

Cabinet considered a report seeking approval to undertake a formal consultation on the future of Hameldon Community College, Burnley, in order to secure educationally and financially viable high quality provision for the future in the area.

The report proposed a stage 1 consultation on the possible closure of Hameldon Community College, due to concerns about the quality of current educational standards, the school's financial deficit position and pupil numbers.



**Resolved:** That

- i. the information on the future of Hameldon Community College, Burnley, as set out in the report, be noted.
- ii. a stage 1 consultation be undertaken, starting in September 2017, on the proposed closure of Hameldon Community College, Burnley, with effect from 31 August 2018.

## **16. Revision of Home to School Transport Policy 2018-19**

Cabinet considered a report on a revised Home to School Transport Policy, in accordance with the Education School Information Regulations 2008 (Regulation 8).

It was noted that in November 2015, Cabinet agreed to consult on the withdrawal of the current transport subsidy for pupils attending a faith school, where there was a nearer school to their home. Cabinet noted and considered the information on the responses to the consultation the Council undertook.

**Resolved:** That,

- i. the responses to the public consultation on a revised Home to School Transport Policy, as set out in the report, be noted.
- ii. the provision of discretionary denominational transport subsidies be ceased as from 1 September 2018, for all pupils commencing at primary or secondary school.
- iii. the changes be phased-in, so that children who started school under one set of transport arrangements continue to benefit from them, until they either conclude their education at that school, or choose to move to another school.
- iv. the revised Home to School Transport Policy for the academic year 2018/19 be approved.

## **17. Proposals relating to Library Buildings**

Cabinet considered a report which outlined proposals in relation to the provision of library facilities and options in relation to premises where Community Asset Transfer requests had been received.

**Resolved:** That,

- i. the phased re-opening and delivery of a full library service at Parbold Library and Thornton Library be approved.
- ii. the decision to declare surplus the Parbold Library and Thornton Library buildings be rescinded.

## **18. Deprivation of Liberty – Prioritisation of Applications to the Court of Protection**

Cabinet received a report giving an overview of the position regarding the legal requirements placed on the Council regarding:

- applications to the Court of Protection (COP) in relation to people who may be deprived of their liberty in community settings;
- the pressures on social work and legal resources since the Supreme Court ruling of March 2014 (known as the Cheshire West ruling) which dramatically increased the number of people who come within the remit of Deprivation of Liberty legislation; and
- the potential risks of not complying fully with the law.

**Resolved:** That,

- i. the legal requirements placed on the Council as a result of the Cheshire West ruling and the consequential financial implications, as set out in the report, be noted.
- ii. the Court of Protection Prioritisation Tool, as set out at Appendix 'A', be adopted.

## **19. Implementation of the Care Act 2014 - Approval of revised Adult Social Care Policies and Procedures**

Cabinet considered a report presenting revised policy, procedures and guidance documents on:

- Independent Mental Capacity and Mental Health Advocacy;
- Assessment of Needs; and
- Review of Care and Support Plans.

The report formed part of an ongoing comprehensive review of the County Council's adult social care policies, procedures and guidance following the significant changes brought in by the Care Act 2014

**Resolved:** That the following revised Adult Social Care Policies:

- a. Independent Mental Capacity and Mental Health Advocacy;
- b. Assessment of Needs; and
- c. Review of Care and Support Plans

as set out in the report and appendices, be approved.

## **20. Urgent Business**

There was no Urgent Business.

## **21. Date of Next Meeting**

It was noted that the next meeting of Cabinet would take place at 2pm on Thursday 14 September at County Hall, Preston.

## **22. Notice of Intention to Conduct Business in Private**

The Notice of Intention to Conduct Business in Private was noted.

## **23. Exclusion of Press and Public**

**Resolved:** That under Section 100A(4) of the Local Government Act 1972, 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.

## **24. Land at Heysham Gateway Lancaster**

(Exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act, 1972. It was considered that in all the circumstances of the case the public interest in maintaining the exemption outweighed the public interests in disclosing the information.)

Cabinet considered a report on the disposal of land at Heysham Gateway, Lancaster.

**Resolved:** That the recommendations, as set out in the report, be approved.

## **25. Disposal of Property - Land at Kiddrow Lane, Burnley**

(Exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act, 1972. It was considered that in all the circumstances of the case the public interest in maintaining the exemption outweighed the public interests in disclosing the information.)

Cabinet considered a report on the disposal of land at Kiddrow Lane, Burnley.

**Resolved:** That the recommendations, as set out in the report, be approved.

## **26. Former Glenburn Sports College Skelmersdale/Skelmersdale Rail Link**

(Exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act, 1972. It was considered that in all the circumstances of the case the public interest in maintaining the exemption outweighed the public interests in disclosing the information.)

Cabinet considered a report on the former Glenburn Sports College, Skelmersdale.

**Resolved:** That the recommendations, as set out in the report, be approved.

**27. Capital Contribution to the Development of an Extra Care Scheme in Preston**

(Exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act, 1972. It was considered that in all the circumstances of the case the public interest in maintaining the exemption outweighed the public interests in disclosing the information.)

Cabinet considered a report on a capital contribution to the development of an extra care scheme in Preston.

**Resolved:** That the recommendations, as set out in the report, be approved.

**28. Community Asset Transfer**

(Exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act, 1972. It was considered that in all the circumstances of the case the public interest in maintaining the exemption outweighed the public interests in disclosing the information)

Cabinet considered a report on arrangements for community asset transfers.

**Resolved:** That the recommendations, as set out in the report, be approved.

Jo Turton  
Chief Executive

County Hall  
Preston



Cabinet's aims but which addressed the risks which she considered were inherent in Option 'A'.

- Option 'C' - involved a review of the Council's business and operating model as approved by Full Council in February 2016 in budget option 018.

A number of views and comments on the Options were made by several county councillors who were also present at the meeting. Having received those representations, as well as officer advice, Cabinet then:

**Resolved:**

- (i) That the contents of the report now presented, including the officer advice in relation to each of the Options identified in the report and the representations made by members of the Council at the meeting, be noted.
- (ii) That Option 'A' including the proposed arrangements for the appointment of staff to a new senior management structure, as set out in the report, be approved for the purposes of consultation with the staff affected and that the outcome of the consultation be reported to Cabinet on 14 September 2017.
- (iii) That the decision at (ii) above be implemented immediately for the purposes of Standing Order 35 as any delay could adversely affect the execution of the County Council's responsibilities, and in particular to enable the Council's operating structure to be aligned with the administration's policy priorities and to deliver savings as a matter of urgency.

**4. Urgent Business**

None.

**5. Date of Next Meeting**

It was noted that the next meeting would be held on Thursday 14 September 2017 at 2.00 p.m. at County Hall, Preston.

Jo Turton  
Chief Executive

County Hall  
Preston

**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Independent Chair of the Lancashire Safeguarding Boards**

|               |
|---------------|
| <b>Part I</b> |
|---------------|

|                                      |
|--------------------------------------|
| Electoral Divisions affected:<br>All |
|--------------------------------------|

**Lancashire Safeguarding Boards - Annual Report 2016/17**

(Appendix 'A' refers)

Contact for further information:

Jane Booth, Independent Chair – [jane.booth@lancashire.gov.uk](mailto:jane.booth@lancashire.gov.uk)

**Executive Summary**

This report is being presented to the Cabinet prior to publication of the LSCB/LSAB Annual Report to allow for comment on the draft report before it is finalised. The draft Annual Report is attached at Appendix 'A'.

Statute requires that in every local authority administrative area there must be both a Children Safeguarding Board and an Adult Safeguarding Board. Key local agencies are represented on the boards at a senior level, but the Boards have an Independent Chair. At present in Lancashire both Boards have the same Chair.

Both Boards are required to produce and publish an annual report which reflects on safeguarding practice and issues in the area. The attached report at Appendix 'A' covers the period from April 2016 to end of March 2017.

The report begins with contextual information drawn from Public Health data. Generally, the data reflects more Red/Amber ratings than Green ratings. The data also highlights the complexity of the population in Lancashire, with poorer performance being seen in the areas of highest deprivation. The report then seeks to set out what we know about the vulnerability of the people in terms of safeguarding and what we know about the quality and safeguarding activity in local services.

**Recommendation**

The Cabinet is asked to:

- (i) note the contents of the report.
- (ii) comment on any key issues and consider the implications for the conduct of council business.

## Background and Advice

In Lancashire a single business unit supports both Boards and every attempt is made to maximise the potential benefits this brings. Common approaches have been developed for the conduct of business and, as far as possible we strive to do things once. For the first time, this year we are publishing the Annual Report as a single report covering both Boards. If required, for example by Ofsted, it can be split into a Children's or Adults report.

Key issues detailed in the report which may be of particular interest to Cabinet include the following:

Adults:

Adults - Good practice and improved performance

- More resources have been committed to understanding and addressing issues related to delays in hospital discharges.
- Policies, procedures and guidance around Mental Capacity Act (MCA) implementation have been commended nationally as an example of best practice.
- A significant majority of residential and nursing homes are rated by the regulator, CQC, as good or outstanding.
- High levels of service users report that they feel safe and that the service they received has made them feel safer.

Adults – pressures and concerns

- Applications in respect of DoLS far outstrip capacity to deal with them and there are significant backlogs.
- A significant backlog of safeguarding referrals was reported in the previous Annual Report. This has continued to be a concern throughout 2016-17. (Recently additional resources have been identified to deal with this and the outcome will be reported in the 2017-18 report).
- There has been an increase of 30% in cases identified as vulnerable adults by the police – the largest number are as a result of domestic abuse.
- Although the total number of cases is small, there has been a significant increase in cases of so-called honour based violence.
- Thresholds for referral to Adult Social Care are not sufficiently well understood across partner agencies resulting in too high a level of referrals.

Adults – challenges

- Clearing backlogs both in DoLS applications and safeguarding referrals
- Increasing understanding of thresholds so vulnerable adults get the right service at the right time, including early help.
- “Making Safeguarding Personal” (MSP) should underpin all adult safeguarding work. While this has been embedded in adult social care we need to see more evidence of this approach being adopted in all settings.



## Children

### Children – good practice and performance

- There has been a significant increase in the number of families being supported with early help.
- Social worker caseloads have stabilised at an appropriate level.
- The number of Missing from Home incidents has reduced by 24%
- The number of children needing to be subject of a child protection plan for more than two years is lower than both the National and regional averages.
- The Children Board's on-line resources are recognised as of good quality and the Web-pages are well-used, particularly by schools.

### Children – pressures and concerns

- The level of resources committed to Child and Adolescent mental health is insufficient resulting in waiting lists and inequitable access to services across the county.
- The level of complexity combined with inefficient working practices for management of incoming work have had an adverse impact on the volume of referrals. This has however been an area of attention, additional resource and more recent improvement.
- The numbers of children needing a child protection plan, though marginally lower than last year, remains higher than the National average.
- The numbers of children looked after by the local authority continues to rise and is higher than both the National and North West average.
- Although improving, completion of assessments by Children's Social Care is still not meeting the required timescales.
- Around 1,000 children who are looked after by other local authorities are placed with private/independent sector providers in Lancashire.
- Rates of hospital admission for reasons of mental health or self-harm continue to rise and are above both National and North West averages.
- Asian children are over-represented in overall child death figures.
- Referrals to the MASH include too many children whose interests would be best met by early help.

### Children - challenges

- Embedding access to early help as the first response.
- Ensuring the redesign of the Child and Adolescent Mental Health Service results in a more accessible and equitable service.
- Ensuring the improvements made in Children's Social Care are sustained.
- Piloting new approaches to the MASH and developing a locality based service.
- Embedding the lessons from audit and Serious Case Reviews into practice.

The Board completes a range of quality assurance activities which are reflected in the Annual report. Serious Case Reviews concerning children and Safeguarding Adult reviews are published (where there are no legal constraints) and always publishes learning briefings. A programme of audits is completed each year on subjects linked to the Boards' priorities. Partner agencies who provide services for children and families complete an annual self-assessment against an LSCB template and a proportion are subject of detailed challenge.

The governance arrangements for the Boards is set out in the annual report, as is the work of the sub-groups. Lessons from case reviews and audits are outlined. Partner agencies have also provided a summary of their work in respect of safeguarding and these are embedded in the report.

Revised governmental guidance around the arrangements for safeguarding children is expected to be published in the Autumn. This will require three key agencies, the local authority, the police and the CCGs to determine future arrangements and the statutory requirements for there to be a Local Safeguarding Children Board will cease. It is anticipated that new arrangements will need to be in place by end of March 2019.

### **Consultations**

All Board partner agencies have been consulted during the preparation of the Annual Report. The report reflects comments made and includes information directly provided by the agencies. A group of young people will be producing a Young Person's version of the report in due course.

### **Implications:**

This item has the following implications, as indicated:

While there is evidence of good practice, significant challenges remain in ensuring services that provide safeguards for vulnerable children and adults are sufficiently resourced to meet demand on a timely basis.

### **Risk management**

As set out in the report.

### **Legal**

Failure to meet the statutory requirements in the provision of services could increase the risk of harm. It would also impact on the reputation of the council and partner agencies.

### **Equality and Cohesion**

Any deficits in service are likely to impact more significantly on those living in areas of high deprivation.

### **Financial**

The Boards Business unit and activity is financed from multi-agency contributions. This is not currently sufficient to meet the full costs and the Board has used its reserves to supplement the annual budget.

## List of Background Papers

| Paper   | Date | Contact/Tel     |
|---|------|-----------------|
| Working Together to Safeguard Children<br>The Care Act 2014 – revised 2016<br>Board minutes and reports | 2015 | Victoria Gibson |

Reason for inclusion in Part II, if appropriate

N/A





**Annual Report 2016/17**

**DRAFT**

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DRAFT

## 1. Foreword by the Independent Chair

This report relates to my third year as Independent Chair of the Children Safeguarding Board and my first as Independent Chair of the Adult Safeguarding Board. It continues to be a privilege and a pleasure to chair the Boards and to see the impact of the dedicated and skilled workforce to whom I send my thanks.



It has generally been a year of continued pressures as agencies strive to deliver services against increasing demand and decreasing budget levels. We have seen the impact of this on the capacity of professionals, particularly senior and middle managers, who have sometimes struggled to fully engage with the Boards' business. An important role for the Board is one of challenge and it is to their credit that our experience is of agencies picking up the challenges with good grace and working towards improvement.

During the last twelve months the two Boards, the Lancashire Safeguarding Children Board (LSCB) and the Lancashire Safeguarding Adult Board (LSAB), have been, wherever possible, working together supported by a single business unit. As a result, some of our work now focusses across the age range and while we are currently required by regulation to maintain two separate Boards we are reporting on both via this one annual report. The report largely follows the format of the previous children's report and uses the nationally recommended framework.

In last year's LSAB report, the previous Chair reported difficulty in obtaining performance data and significant concerns about delay in dealing with referrals. During 2016-17 we have been able to establish a series of Board Sub-groups, including one focussed on data analysis, performance review and audit. This work continues to develop but has enabled the Board to better understand the level and quality of services and to put in challenge where safeguarding practice needs improvement.

In last year's LSCB report, we reflected on the Ofsted Inspection findings in respect of the Lancashire County Council and the Lancashire Safeguarding Children Board. The year covered by this report has seen considerable activity focussed on improvement and while there is evidence of change there are still areas to address. While timeliness in some areas of work continues to be a challenge, new assessment procedures have been adopted within Social Care and across partner agencies. These together with significant more recent improvements in the Multi-agency Safeguarding Hub (MASH) give grounds for optimism for the coming year.

Additional Board capacity has been developed during the year and new methodologies adopted for audit and case reviews. This has enabled the Boards to drill down into the quality of services at a case level and has produced valuable learning for all agencies.

For the first time, the Boards have been proactive in raising safeguarding awareness via the media, with campaigns being reported on in the local press and nationally. Concerns re suicide levels, particularly in Preston area resulted in coverage over three days on suicide and suicide prevention. Concerns arising following an adult's death as a result of fire involving the use of emollient creams



was covered in the local press and picked by the media nationally both in newspapers and on radio. Articles were also run on issues such as toy safety in the run up to Christmas and on-line safeguarding issues for children.

This report covers the safeguarding practice of Lancashire agencies and the work of the Boards themselves. While it identifies much to commend, challenges remain. Ensuring vulnerable people get the right services at the right time is work in progress and more needs to be done. Revised guidance has been issued and a new early help service launched - these things should impact during 2017-18. Suicide figures are still high for adults and, in some areas, children and adolescents are still not able to access a timely and comprehensive mental health and well-being services. Too many children and adolescents attend hospital due to self-harm. Numbers of children looked after by the local authority and those needing the support of a child protection plan are high. Around 1,000 children looked after by other local authorities are placed in Lancashire resulting in high numbers of children with complex needs requiring access to local services. The majority of safeguarding alerts in respect of adults occur in care/nursing settings, sometimes where the placement struggles to meet the challenging needs of the adult. Domestic abuse, particularly of vulnerable elderly, is a growing concern. The Boards continue to challenge agencies to address these areas.

During 2017-18 it is expected that the government will issue guidance on new arrangements for safeguarding children. There will specific changes for the current Children's Board which may in turn impact on the Adult's Board. We plan to begin preliminary work on new models in the Autumn. Change may be quite radical but it is clear that safeguarding will remain a priority.

Direct engagement of the Boards with service users is important and the Children's Board has continued to benefit from the work of young inspectors. The Adult's Board has not yet developed direct arrangements but has engaged with existing service user groups. As in previous years a young person's version of this report will be produced, as will a more accessible version for adults.

I look forward to the coming year. Lancashire is a complex and diverse area but, despite all the challenges and concerns, good outcomes as a result of the work of dedicated staff also continue to be in evidence. My thanks go to all concerned.

A handwritten signature in black ink, appearing to read 'Jane Booth', written in a cursive style.

Jane Booth, Independent Chair

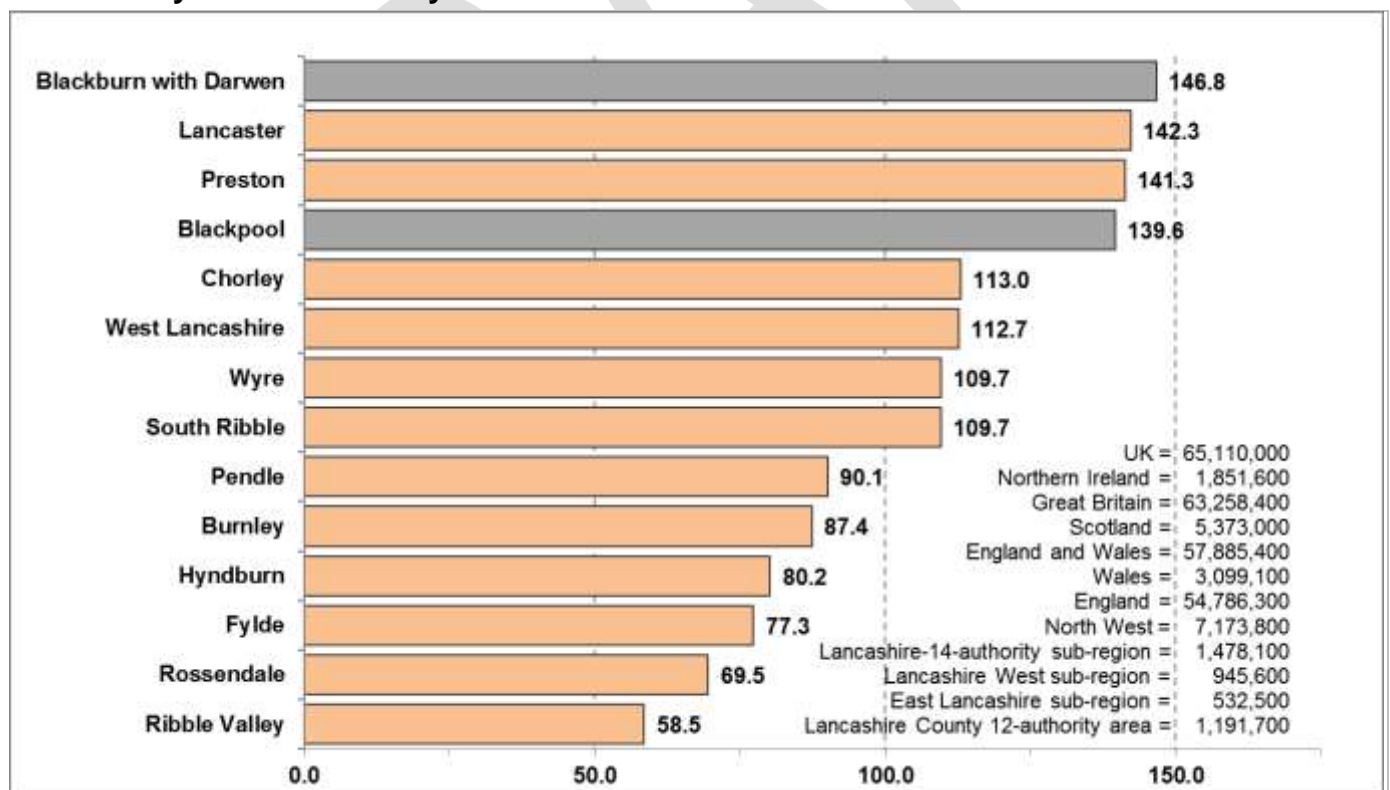
## 2. Local Context and Background

Lancashire is a large and diverse Shire County, with one County Council and 12 District Councils. Mid-year 2015 population estimates indicate that Lancashire local authority area is the fourth largest in the United Kingdom (of a total of 418 local authority areas), with a population of 1,191,691; the three larger local authority areas being Kent, Essex and Hampshire respectively.

Within the former county footprint there are two unitary authorities, Blackpool and Blackburn with Darwen. They have separate administrations including individual Safeguarding Boards. With the unitary authority populations (Blackburn with Darwen –146,846 and Blackpool – 139,578), Lancashire County Council area (the Lancashire – 12 area) has a total population of approximately 1.5 million (1,478,115 Lancashire-14, 2015 mid-year estimate).

2015 mid-year estimates indicate that the Lancashire-12 area (1,191,691) saw a 0.6% yearly increase in population numbers. This was on a par with the North West percentage population increase. As the graph below shows, the populations for each district within Lancashire varies considerably. Lancaster district had the largest population in the Lancashire-12 area (142,283) closest followed by Preston (141,302). Ribble Valley (58,480) and Rossendale (69,487) were the two authorities with the lowest population totals.

### 2015 mid-year population estimates (thousands) for local authorities with the Lancashire-12 authority area and unitary authorities



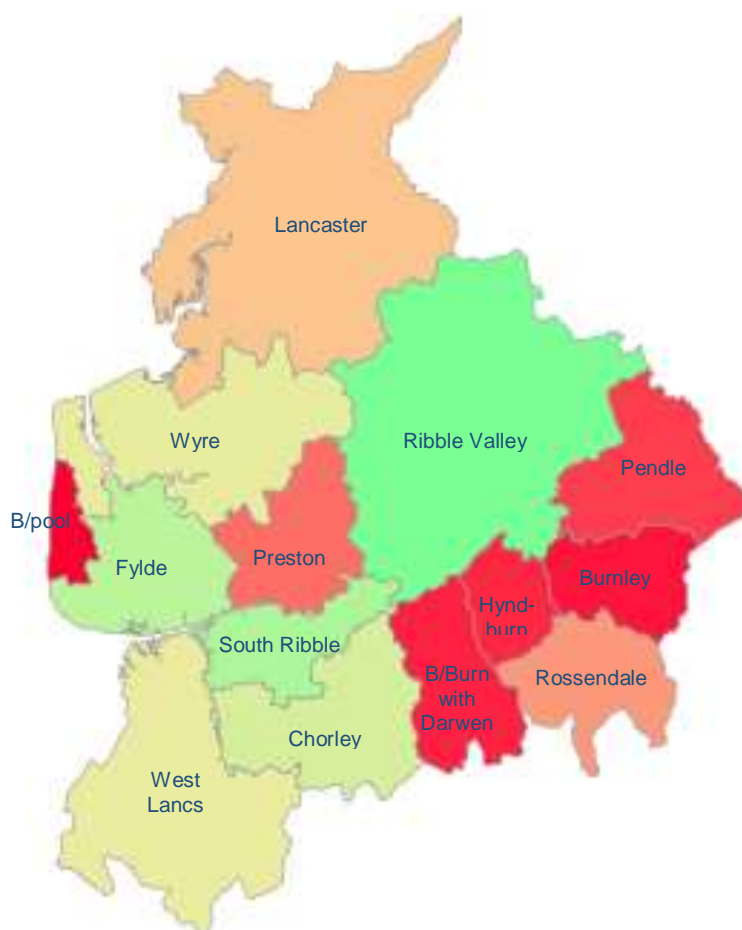
Source: Office for National Statistics (ONS) annual mid-year population estimates.

The Lancashire-12 area continues to register more births than deaths each year, however there are district variations. Fylde, Lancaster, Ribble Valley, West Lancashire and Wyre all registered more deaths than births in 2015. It is assumed that this is due to those districts being home to large elderly populations.

Within Lancashire, there are pockets of severe social and economic deprivation. Deprivation is measured by the indices of deprivation (IMD), which provides detailed results for very small areas. This information indicates severe deprivation in urban centres within Lancashire. The county has a large number of small areas that fall within the 10% of the most deprived localities in England but also a number of affluent localities in the county. Of 152 upper tier local authorities, Lancashire-12 area is ranked 87, which puts the county in the middle nationally, (57%) however within this data there are significantly district variances. Burnley (ranked 17<sup>th</sup>), Hyndburn (ranked 28<sup>th</sup>) and Pendle (ranked 42<sup>nd</sup>) are in the top 20% most deprived areas in the country. In contrast, Ribble Valley is ranked 290<sup>th</sup> and falls within the top 20% least deprived area.

The map below illustrates the 'indices of multiple deprivation' across the county, red areas show the most deprived and green the least deprived districts. It is also useful to note that even within the district areas, there is considerable variances within local neighbourhood deprivation.

| District              | DistrictMapPerc |
|-----------------------|-----------------|
| Ribble Valley         | 88.96           |
| South Ribble          | 71.78           |
| Fylde                 | 66.87           |
| Chorley               | 57.06           |
| Wyre                  | 51.23           |
| West Lancashire       | 50.31           |
| Lancaster             | 38.34           |
| Rossendale            | 30.06           |
| Preston               | 22.09           |
| Pendle                | 12.88           |
| Hyndburn              | 8.59            |
| Blackburn with Darwen | 7.36            |
| Burnley               | 5.21            |
| Blackpool             | 1.23            |



**Lancashire JSNA** information,  
Last updated July 2017

Mid-year population information estimates there to be 275,890 individuals aged 0-19, this accounts for 23.2% of the total population in Lancashire-12 area. 19.9% of the total population (237,437) were aged 65+, with 29,805 aged 85+ (2.5%).

The gender split in the Lancashire-12 area, is equal throughout all age groups, until age 65. From age 65 onwards the percentage of females exceeds males for each age group, by the 85+ age group; 65.9% of the population is female. This pattern is representative of the National picture and is assumed to be due to females having a comparatively longer life expectancy.

## 2.1 What do we know about Adults in Lancashire?

The following information is based on Adult Health and Social Care profiles, which are available via the NHS Public Health profiles and information taken from the LSAB's multi-agency dataset.

### 2.1.1 Public Health Profiles

The key indicators illustrated in the Health Profiles table includes a key list of health and social indicators and comparisons can be made locally, nationally and over a period of time. Data is RAG rated against the benchmark set by Public Health with a direction of travel compared to the previous time period. The information in the health and social care profiles below is based on the Lancashire-12 area, this will mask local variations across each of the distinct districts.

*Red = worse, Amber = similar, Green = better*

*Benchmark RAG – Lancashire compared with the Public Health England benchmark*

*Direction of Travel – most recent Lancashire data compared with previous*

*Most recently available data as of June 2017.*

| Health Profiles<br>Life expectancy and causes of death |  | England | NW    | Lancashire |          |                     |               |
|--|--|---------|-------|------------|----------|---------------------|---------------|
|  |  |         |       | Current    | Previous | Direction of Travel | Benchmark RAG |
| 1  | Life expectancy at birth (males)                                 | 79.5    | 78.1  | 78.5       | 78.4     | Stable              |               |
| 2  | Life expectancy at birth (females)                               | 83.1    | 81.8  | 82.1       | 82.1     | Stable              |               |
| 3  | Suicide Rate - per 100,000 population                            | 10.1    | 11.3  | 11.6       | 11.9     | Stable              |               |
| 4  | Smoking related deaths   | 283.5   | 342.9 | 322.3      | 312.8    | Worse               |               |
| 5  | Under 75 mortality rate: cardiovascular – per 100,000 population | 74.6    | 88.5  | 85.0       | 85.5     | Stable              |               |
| 6  | Under 75 mortality rate: cancer – per 100,000 population         | 138.8   | 138.8 | 143.4      | 149.7    | Better              |               |
| 7  | Excess Winter Deaths - ratio                                     | 19.6    | 20.1  | 18.8       | 15.2     | Worse               |               |

Data relating to life expectancy at birth in Lancashire shows that figures are stable compared with the previous year, although they have a benchmarked RAG rating of red compared to regional comparator areas. The suicide rate is also relatively stable having dropped marginally (0.3 per 100,000 population) compared to the previous year, again however this indicator is RAG rated red compared to the benchmarked data available via the Public Health profiles.

It is important to remember that such indicators will have district variations, many of which will have correlations with other measures of public health; for example deprivation. The suicide rate is one such example of a Public Health indicator which has district variation, as the table below shows Preston has a much higher rate than the Lancashire average, whilst other districts have a comparably lower rate which evens out the overall Lancashire rate.

### Suicide rate

2013 - 16

Directly standardised rate - per 100,000

| Area            | Recent Trend | Count  | Value | 95% Lower CI | 95% Upper CI |
|-----------------|--------------|--------|-------|--------------|--------------|
| England         | -            | 14,429 | 10.1  | 10.0         | 10.3         |
| Lancashire      | -            | 357    | 11.6  | 10.4         | 12.8         |
| Burnley         | -            | 26     | 11.5  | 7.5          | 16.9         |
| Chorley         | -            | 26     | 8.7   | 5.7          | 12.8         |
| Fylde           | -            | 26     | 11.7  | 7.6          | 17.3         |
| Hyndburn        | -            | 28     | 13.7  | 9.1          | 19.8         |
| Lancaster       | -            | 44     | 12.2  | 8.8          | 16.5         |
| Pendle          | -            | 29     | 12.4  | 8.3          | 17.9         |
| Preston         | -            | 58     | 16.8  | 12.7         | 21.8         |
| Ribble Valley   | -            | 17     | *     | -            | -            |
| Rossendale      | -            | 21     | *     | -            | -            |
| South Ribble    | -            | 32     | 11.3  | 7.7          | 15.9         |
| West Lancashire | -            | 25     | 8.7   | 5.5          | 12.8         |
| Wyre            | -            | 25     | 9.2   | 5.9          | 13.7         |

Source: Public Health England (based on ONS source data)

### Disease and Poor Health

|    |  | England | NW    | Lancashire |          |                     |               |
|----|--|---------|-------|------------|----------|---------------------|---------------|
|    |  |         |       | Current    | Previous | Direction of Travel | Benchmark RAG |
| 8  | Hospital stays for self-harm - per 100,000 population                      | 196.5   | 250.4 | 235.0      | 236.1    | Stable              | Red           |
| 9  | Admission episodes for alcohol related conditions - per 100,000 population | 647     | 737   | 669        | 681      | Stable              | Red           |
| 10 | Hip fractures in people aged 65 + - per 100,000 population                 | 589     | 618   | 564        | 626      | Better              | Yellow        |

Public health information relating to disease and poor health shows that hospital stays for self-harm and alcohol related conditions is stable compared to Lancashire's data for the previous year, although is RAG rated red compared to regional neighbours. The number of hip fractures in people aged 65+ has improved with a rate of 564 per 100,000 in 2016/17, compared with 626 in the previous year, this is considered similar to neighbouring benchmarked local authorities.

### Adult Social Care

|    | People with care and support needs                 | England | NW   | Lancashire |          |                     |               |
|----|--|---------|------|------------|----------|---------------------|---------------|
|    |  |         |      | Current    | Previous | Direction of Travel | Benchmark RAG |
| 11 | Prevalence of dementia, all ages - proportion %    | 0.76    | 0.81 | 0.87       | 0.86     | Stable              | Red           |
| 12 | Prevalence of learning disabilities - proportion % | 0.44    | 0.46 | 0.45       | No data  |                     | Yellow        |

Prevalence of dementia within Lancashire is stable compared to the previous year, with the percentage having increased marginally (by 0.1%).

Compared with the Public Health benchmark, Lancashire is RAG rated red.



| Enhancing quality of life for people |   | England | NW   | Lancashire |          |                     |               |
|--------------------------------------|---|---------|------|------------|----------|---------------------|---------------|
|                                      |   |         |      | Current    | Previous | Direction of Travel | Benchmark RAG |
| 13                                   | Percentage of people who use services who feel they have control over their daily life                      | 76.6    | 76.6 | 77.4       | No data  |                     |               |
| 14                                   | Percentage of people who use services, who reported that they had as much social contact as they would like | 45.4    | 46.1 | 47.1       | No data  |                     |               |

The above indicators provide some insight to the voice of the adult with regards to the proportion of service users who feel they have control over their daily life and the proportion who feel they have sufficient social contact. Unfortunately previous data is not available for these measures. However, Lancashire is benchmarked as similar to neighbouring Local Authorities for these measures and reports marginally higher percentages in both measure than the North West and National averages.

| Delaying and reducing the need for care and support |   | England | NW  | Lancashire |          |                     |               |
|---|---|---------|-----|------------|----------|---------------------|---------------|
|   |   |         |     | Current    | Previous | Direction of Travel | Benchmark RAG |
| 15  | Total delayed transfers of care per 100,000                 | 12.1    | 9.4 | 13.3       | 12.1     | Worse               |               |
| 16  | Delayed transfers of care attributable to adult social care | 4.7     | 2.5 | 2.0        | 2.0      | Stable              |               |

The total delayed transfers of care per 100,000 in Lancashire has worsened in 2015/16 compared to the previous year. Most recent data (2015/16) reports a rate of 13.3 which is 1.2 higher than the previous time period. 13.3 also means that Lancashire is now higher than the National average and considerably higher than the North West figure. The delayed transfers of care attributable to adult social care are stable at 2.0, this is below the National and regional benchmarks and stable compared to Lancashire's rate in the previous period.

| Safeguarding Vulnerable Adults |   | England | NW   | Lancashire |          |                     |               |
|--------------------------------|---|---------|------|------------|----------|---------------------|---------------|
|                                |   |         |      | Current    | Previous | Direction of Travel | Benchmark RAG |
| 17                             | Percentage of people who use services who say they feel safe  | 69.2    | 70.0 | 74.5       | 72.9     | Better              |               |
| 18                             | Percentage of people who use services who say that those services have made them feel safe and secure | 85.4    | 84.6 | 88.4       | 88.9     | Stable              |               |
| 19                             | Emergency hospital admissions due to falls in people aged 65 or over                                  | 2169    | 2452 | 1969       | 2094     | Better              |               |
| 20                             | Hip fractures in people aged 65 and over  | 589     | 618  | 564        | 626      | Better              |               |
| 21                             | Excess winter deaths index (single year, all ages)  | 27.7    | 27.3 | 26.3       | 13.0     | Worse               |               |

Lancashire's Adult Social Care Outcomes Framework (ASCOF) survey results are consistently above the National and North West figures. The percentage of people who use services and feel safe has risen in 2015/16 compared with the previous year, in 2015/16 74.5% of those asked in Lancashire reporting that they feel safe (compared with 72.9% in 2014/15).

88.4% of Lancashire residents questioned, report that the services that they use have made them feel safe. This percentage is marginally lower (0.5) that the previous year but remains above the National and North West figures.

Lancashire's emergency hospital admissions due to falls in people aged 65+ have improved from 2094 to 1969 and are consistently better than the National and North West figures. The number of people aged 65+ with hip fractures has also improved. In contrast, the excess winter deaths index has worsened, from 13.0 to 26.3 in the current period. This figures is marginally better than the National and North West figures but is considerably higher than the previous period for Lancashire.

*Source – Public Health England. Child Health Profiles 2017*  
*Red = worse, Amber = similar, Green = better – as specified by Public Health England*  
*Benchmark RAG – Lancashire compared with the Public Health England benchmark*

### 2.1.2 LSAB Multi-agency dataset

The following tables of information are extracted from the LSAB's multi-agency dataset. Significant work has been done on the dataset throughout 2016/17 with a view to making the dataset more representative of numbers of and services for vulnerable adults across Lancashire. The dataset considered by the quality assurance, audit and performance sub-group to the board contains information from various partners and is categorised according to areas of the Care Act. Within the main dataset, further detailed information is collected and considered by the LSAB's quality assurance, audit and performance sub-group however the information below illustrates the general picture across Lancashire for 2016/17.

#### Empowerment and Proportionality

| Deprivation of Liberties (DoLS)        | 2015/16 | 2016/17         | Comments  |
|--|---------|-----------------|---|
| DoLS applications received             | 4649    | 4256<br>Reduce  | The number of DoLS applications received has reduced by 9.2% from 4649 in 2015/16 to 4256 in 2016/17.   |
| Number of DoLS applications authorised | 397     | 433<br>Increase | The number of DoLS applications authorised has increased by 9.1% from 397 in 2015/16 to 433 in 2016/17. |

In the Q2 performance report to board, information was obtained from the DoLS team in an effort to explain the high backlog of DoLS applications. Information from the DoLS team states that the DoLS regulations specify that if an application for a standard DoLS authorisation is received but the person is discharged, moves or dies prior to the assessment process being completed, the local authority should complete DoLS form 6, officially not granting the Standard authorisation. The DoLS team report that with an estimated 5000+ backlog of applications, there was a very large number of cases where this process should occur. The DoLS team took the decision that it was not a good use of

resources to continue to complete and send out all this paperwork when there is so many high priority cases to deal with.

The DoLS team allocate in line with the Association of Directors of Adults Services (ADASS) prioritisation tool and continue to only be in a position to respond to high priority cases where there is objection to the care arrangements or significant risk to Lancashire County Council (LCC) for alternative reasons.

### Partnership and Accountability

The LSAB Quality and Performance sub-group have begun to receive Care Quality Commission (CQC) information on a regular basis. The information received shows CQC rating for all establishments in Lancashire, with North West and National figures included for comparative measures.

| CQC Position as of 01/04/2017 | CQC Ratings - All establishments |        |          |            |       |         |
|-------------------------------|----------------------------------|--------|----------|------------|-------|---------|
|                               | April 2017 Grade                 | Lancs. | Lancs. % | North West | NW %  | England |
| Outstanding                   | 17                               | 2.3%   | 96       | 2.6%       | 657   | 2.3%    |
| Good                          | 543                              | 74.2%  | 2718     | 74.8%      | 22332 | 78.5%   |
| Requires Improvement          | 160                              | 21.9%  | 735      | 20.2%      | 4975  | 17.5%   |
| Inadequate                    | 12                               | 1.6%   | 87       | 2.4%       | 484   | 1.7%    |
| Total                         | 732                              | 100.0% | 3636     | 100.0%     | 28448 | 100.0%  |

As of April 2017 there were a total of 732 establishments in Lancashire that had a CQC rating. At this point in time, 17 (2.3%) were outstanding, 543 (74.2%) were good, 160 (21.9%) required improvement and 12 (1.6%) were inadequate. These figures were generally on a par with North West and National figures, although Lancashire compared with England has a marginally higher proportion of establishments graded as requiring improvement and slightly lower percentage classed as good.

### Prevention

| Fire   | 2015/16 | 2016/17        | Comments  |
|--|---------|----------------|---|
| Number of accidental dwelling fires                  | 679     | 615<br>Better  | 615 accidental dwelling fires occurred in Lancashire in 2016/17, which is 9.4% lower than 2015/16 when there were 679 accidental dwelling fires.      |
| Number of dwelling fires where no smoke alarm fitted | 178     | 163<br>Better  | In 2016/17 there were 163 dwelling fires in Lancashire where no smoke alarm was fitted. This is 8.4% lower than the previous year.                    |
| Fire deaths in accidental dwelling fires             | 4       | 2<br>Better    | In 2016/17 there were 2 fire deaths in accidental dwelling fires in Lancashire, both occurring in quarter 4   |
| Number of completed home fire safety checks          | 11520   | 8533<br>Reduce | The number of completed home fire safety checks undertaken by Lancashire Fire & Rescue has reduced by 25.9% from 11520 in 2015/16 to 8533 in 2016/17. |

Agency commentary from Lancashire Fire & Rescue – Lancashire Fire & Rescue still conduct home fire safety visits for vulnerable people within the community. This service is accessed via the website or phone line, both methods ask targeted questions which seek to measure



the vulnerability of the caller, including issues such as do they have an existing fire alarm, do they smoke, and do they live alone. Requests for home fire safety visits are prioritised according to vulnerability and involve a free smoke alarm being fitted and educating the individual on fire safety within the home. Previously fire home safety visits were available for anyone but due to limited resources, requests now need to be prioritised according to vulnerability.

| Safeguarding Adult Reviews (SARs) – (These are conducted in response to death or significant harm where abuse and neglect are suspected and multi-agency working has been a concern. | Q1 | Q2 | Q3 | Q4 | Comments  |
|--|----|----|----|----|---|
| Number of safeguarding adult reviews referred in   |    | 4  | 4  | 3  | In 2016/17 the LSAB have received 11 referrals for safeguarding adult reviews.              |
| Number of safeguarding adult reviews commissioned  |    | 1  | 2  | 1  | In 2016/17 the LSAB commissioned 4 safeguarding adult reviews. These will report in 2017-18 |

## Protection

| Police Potentially Vulnerable Person (PVP) referrals | 15/16 | 16/17 | diff  | Comments  |
|--|-------|-------|-------|---|
| Total PVP referrals – vulnerable adults (VA)         | 6813  | 8908  | 30.7% | The number of PVP referrals for vulnerable adults has risen by 30.7% from 6813 in 2015/16 to 8908 in 2016/17.   |
| High risk PVP referrals – VA                         | 1429  | 1688  | 18.1% | The number of high risk PVP referrals for vulnerable adults has risen by 18.1% to 1688 high risk referrals in 2016/17. High risk referrals account for 18.9% of PVP referrals in 2016/17.             |
| Medium risk PVP referrals – VA                       | 2977  | 4092  | 37.5% | The number of medium risk PVP referrals for vulnerable adults has risen by 37.5% to 4092 medium risk referrals in 2016/17. Medium risk referrals account for 45.9% of PVP referrals in 2016/17.       |
| Standard risk PVP referrals – VA                     | 2407  | 3124  | 29.8% | The number of standard risk PVP referrals for vulnerable adults has risen by 29.8% to 3124 standard risk referrals in 2016/17. Standard risk referrals account for 35.1% of PVP referrals in 2016/17. |
| PVP referrals flagged for Domestic Abuse             | 250   | 276   | 10.4% | The number of PVP referrals flagged for domestic abuse has risen from 250 to 276 in 2016/17. This is a 10.4% increase.  |
| PVP referrals flagged for Financial Abuse            | 283   | 348   | 18.7% | The number of PVP referrals flagged for financial abuse has risen from 283 to 348 in 2016/17. This is an 18.4% increase.  |
| PVP referrals flagged for Missing from Home          | 372   | 513   | 37.9% | The number of PVP referrals flagged for missing from home has risen from 372 to 513 in 2016/17. This is a 37.9% increase.   |
| PVP referrals flagged for Neglect                    | 582   | 659   | 13.2% | The number of PVP referrals flagged for neglect has risen from 582 to 659 in 2016/17. This is a 13.2% increase.   |

|  |     |      |       |   |
|--|-----|------|-------|---|
| PVP referrals flagged for Physical Abuse | 925 | 1028 | 11.1% | The number of PVP referrals flagged for physical abuse has risen from 925 to 1028 in 2016/17. This is an 11.1% increase.                                      |
| PVP referrals flagged for Sexual Abuse   | 542 | 564  | 40.6% | In 2016/17 there were 564 PVP referrals for vulnerable adults flagged for sexual abuse. This is a percentage increase of 40.6% compared to the previous year. |

PVP referrals flagged for 'Vulnerable Adults', are categorized according to risk level (high, medium or standard). PVP referrals are also flagged according to any specific safeguarding concerns, data relating to the number of cases flagged for specific safeguarding concerns is useful to the sub-group since it helps us to identify whether there are specific emerging trends that the board may need to be cited on. PVP information is considered by the sub-group over a time series to help ensure that any seasonal fluctuations or unique increases/decreased in referrals are considered in context.

| Multi-agency Risk Assessment Conferences (MARAC) – these take place in respect of high risk domestic abuse cases | 15/16 | 16/17 | diff   | Comments   |
|--|-------|-------|--------|--|
| Total volume of MARAC cases discussed  | 2179  | 1563  | -28.2% | In 2016/17 there were 1563 MARAC cases discussed. This has reduced by 28.2% compared to the preceding year.          |
| Number of MARAC cases heard that are repeats   | 635   | 410   | -35.4% | Of the 1563 MARAC cases heard, 410 were repeat cases.  |
| % MARAC cases heard which are repeats  | 29.1% | 26.2% | 2.9%   | The percentage of MARAC cases heard which are repeats has dropped by 2.9% from 29.1% in 2015/16 to 26.2% in 2016/17. |

Annual data (as above) shows a 28.2% reduction in MARAC cases discussed and a 35.4% reduction in repeat MARAC cases heard. The decrease in repeat MARAC cases heard would be expected considering the overall volume of MARAC cases discussed has fallen. This is in the context of an overall increase of 10% in PVPs related to domestic abuse.

| Multi-agency Safeguarding Hub referrals (MASH) | 15/16 | 16/17 | diff | Comments  |
|--|-------|-------|------|---|
| Total MASH referrals received                  | 8811  | 10767 | 1956 | In 2016/17, 10767 Adult cases were received by the MASH, this is 22.2% higher than the previous year. |

| MASH referrals received by source | 15/16   | 16/17 number | 16/17 % | Comments   |
|-----------------------------------|---------|--------------|---------|--|
| Care Quality Commission           | No data | 271          | 2.5%    | Of the 10767 referrals received by MASH in 2016/17:-<br>- 50.6% were from social care staff<br>- 21.8% were from health staff<br>- 13.0% were classed as 'other' |
| Education/training/workplace      |         | 13           | 0.1%    |  |
| Family member                     |         | 657          | 6.1%    |  |
| Friend/neighbour                  |         | 110          | 1.0%    |  |
| Health staff                      |         | 2345         | 21.8%   |  |
| Housing                           |         | 123          | 1.1%    |  |
| Other                             |         | 1402         | 13.0%   |  |

|                    |  |      |       |  |
|--------------------|--|------|-------|--|
| Other Service User |  | 5    | 0.0%  |  |
| Police             |  | 309  | 2.9%  |  |
| Self-referral      |  | 81   | 0.8%  |  |
| Social Care Staff  |  | 5451 | 50.6% |  |

| <b>MASH referrals received by abuse type</b> | <b>15/16</b> | <b>16/17 number</b> | <b>16/17 %</b> | <b>Comments</b>   |
|--|--------------|---------------------|----------------|---|
| Discriminatory                               | No data      | 69                  | 0.5%           | The number of abuse types recorded in 2016/17 was 13128, this is because some of the referrals made to MASH will have referenced more than one abuse type. Of the 13128 abuse types recorded by MASH in 2016/17:-<br>- 37.7% were neglects and acts of omission<br>- 29.9% were physical abuse<br>- 13.7% were emotional/psychological abuse<br>- 10.4% were financial and material abuse |
| Domestic Abuse                               |              | 150                 | 1.1%           |   |
| Emotional/psychological                      |              | 1796                | 13.7%          |   |
| Financial and material                       |              | 1363                | 10.4%          |   |
| Modern slavery                               |              | 8                   | 0.1%           |   |
| Neglects and acts of omission                |              | 4951                | 37.7%          |   |
| Organisational                               |              | 327                 | 2.5%           |   |
| Physical                                     |              | 3921                | 29.9%          |   |
| Self-neglect                                 |              | 107                 | 0.8%           |   |
| Sexual (incl. sexual exploitation)           |              | 436                 | 3.3%           |   |

The way in which MASH information is provided to the sub-group changed part way through 2016/17. Information above shows MASH referrals by source and by abuse type, this data was provided to the sub-group for the 2016/17 year only, which limits the ability to compare the data over time as there is no data available for 2015/16.

The LSAB Quality and Performance Sub group have now receive monthly information from Business Intelligence which indicates the number of cases in the MASH backlog on a monthly basis. This data is based on the number of cases in the MASH work trays at the beginning of each new month and also provides the group with an indication of the priority and level of complexity of the cases waiting to be actioned. It is important to note that the cases in the 'MASH backlog' will have already been through initial prioritisation in order to ensure that any urgent cases are dealt with in a timely manner, Adult Social Care have also sought additional resources to assist in clearing the back log of cases from the MASH service. Because this information has only recently been brought to the sub-group and is based on data at a 'snapshot in time', data for 2016/17 is not available, however the group are now reviewing this information on a quarterly basis and will ensure that the MASH backlog statistics are shared with board.

| <b>Referrals to the LCC Adult Care Safeguarding Enquiry Team</b>    | <b>15/16</b> | <b>16/17</b> | <b>diff</b> | <b>Comments</b>  |
|---|--------------|--------------|-------------|--|
| Number of referrals opened in the reporting period                  | 9842         | 11533        | 1691        | In 2016/17, 11533 referrals were opened to the safeguarding enquiry team, this is an increase of 17.2% compared to the previous year.  |
| Number of repeat referrals opened in the reporting period           | No data      | 4184         | N/A         | Of the 11533 referrals opened in 2016/17, 4184 were repeat referrals in the reporting period, which equates to 36% of referrals in the year being repeats.   |
| Percentage of all safeguarding enquiries which are repeat referrals | No data      | 36%          | N/A         |  |
| Individuals for whom a referral was opened in the reporting period  | 8709         | 10361        | 1652        | 10361 individuals had referrals opened for them in 2016/17, this is an 18.9% increase on the previous year. The increase in the number of individuals is on a par with the overall increase in referrals opened. |

|   |       |       |      |   |
|---|-------|-------|------|---|
| Number of referrals proceeding to an assessment     | 4027  | 4579  | 552  | In 2016/17 4579 referrals proceeded to an assessment, this is 13.7% higher than the previous year. However, this increase is purely due to the overall increase in assessments, as illustrated by the fact that the percentage of referrals proceeding to assessment has marginally fallen by 2.0%. |
| Percentage of referrals proceeding to an assessment | 46.2% | 44.2% | 2.0% |   |

The LSAB also receive referral information from the Safeguarding Enquiry Team which breaks down referral information by age, gender, district, referral source and outcome. This information is presented to the LSAB quality assurance, audit and performance sub-group and shared with LSAB board as appropriate.

### **2.1.3 Summary**

The information within this data supplement provides Lancashire's local background and context and specific data relating to the Health and Social Care needs of vulnerable adults within Lancashire. The contextual information evidences the fact that Lancashire is a large and diverse county with an increasingly ageing population, these factors will undoubtedly put pressure on those organisations who provide a service to those individuals within Lancashire who have care and support needs.

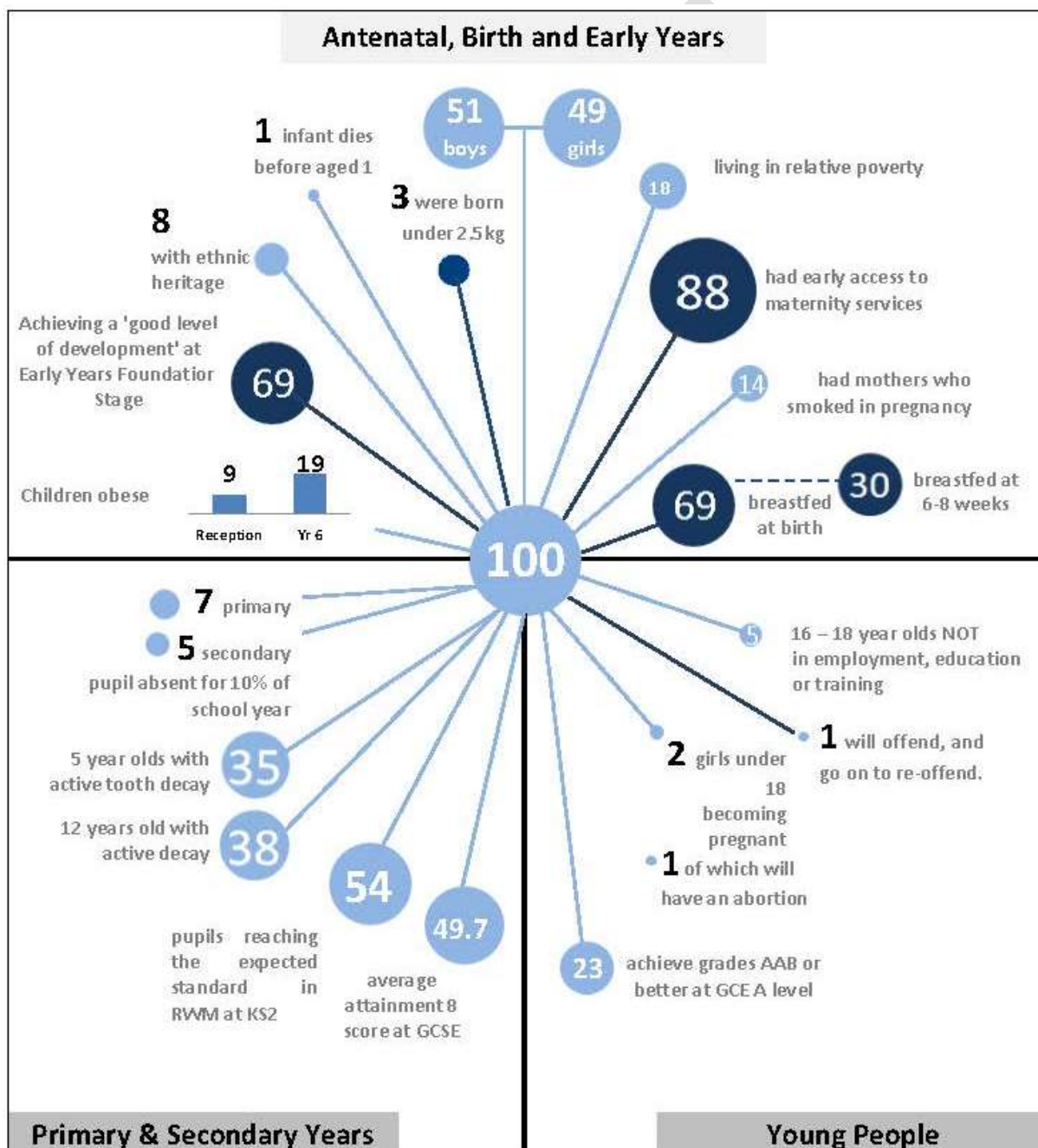
The Public Health data presented illustrates that Lancashire does have significant challenges compared to the local authorities that we are benchmarked against, with many indicators showing Lancashire to be RAG rated red. However, when Lancashire's current data is considered against the previous timeframe, the direction of travel is often stable and for some indicators improving. Public Health information suggests that Lancashire does have hurdles to overcome specifically in relation to smoking related deaths, suicide rate and hospital admissions for self-harm and alcohol. It is however pleasing to note that the proportion of adults who uses services and feel safe continues to increase and remains above the North West and National averages.

## 2.2 What do we know about Children in Lancashire?

Lancashire has a child population of approximately a quarter of a million (245,516 – 2015 mid-year estimate), this has increased by 0.3% compared to the mid-year estimate for the previous year (244,755 – 2014 mid-year estimate for population aged 0-18). According to the 2015 mid-year estimates 20.6% of the population were children.

The following diagram, provided by LCC Business Intelligence, illustrates the diverse range of needs and demographics factors for children within Lancashire.

### If Lancashire were a village of 100 children...



## What do we know about the health and well-being of Children in Lancashire?

The following information is based primarily on the Child Health Profiles (Public Health England) these provide a snapshot of child health and wellbeing for each local authority in England. By using a list of key health indicators, comparisons can be made locally, nationally and over time. Below figures are provided for the Lancashire-12 area, with North West and National comparator data provided as a point of reference. The data is RAG rated according to the benchmarked information provided by Public Health England, with direction of travel stated based on the change in the data compared to the previous time period. It is important when considering the information presented in the table below that Lancashire is a large area with 12 distinct and diverse districts. Different areas of the county have a different demographic composition and unique local issues to contend with, such aspects should be born in mind when considering the child health profiles for the Lancashire-12 area.

*Red = worse, Amber = similar, Green = better*

*Benchmark RAG – Lancashire compared with the Public Health England benchmark*

*Direction of Travel – most recent Lancashire data compared with previous*

*Most recently available data as of June 2017.*

| <a href="#">Child Health Profiles</a>   |  | England | NW    | Lancashire |          |                     |               |
|---|--|---------|-------|------------|----------|---------------------|---------------|
|   |  |         |       | Current    | Previous | Direction of Travel | Benchmark RAG |
| <b>Premature mortality</b>              |  |         |       |            |          |                     |               |
| 1                                       | Infant mortality<br>(Rate per 1,000 live births)                                       | 3.9     | 4.2   | 4.6        | 4.8      | Stable              |               |
| 2                                       | Child mortality rate<br>(per 100,000 1-17 year olds)                                   | 11.9    | 14.0  | 16.8       | 15.9     | Worse               |               |
| <b>Wider determinants of ill health</b> |  |         |       |            |          |                     |               |
| 3                                       | Percentage of children achieving a good level of development at the end of reception   | 69.3%   | 66.7  | 69.2%      | 67.5%    | Better              |               |
| 4                                       | Percentage of 16-18 year olds not in education, training or employment                 | 4.2%    | 4.8%  | 4.8%       | 5.0%     | Better              |               |
| 5                                       | First Time Entrants to the youth justice system (rate per 100,000 of 10-17 population) | 368.6   | 336.1 | 306.0      | 368.8    | Better              |               |
| 6                                       | % of children in low income families (under 16 years)                                  | 20.1    | 22.8  | 19.1       | 16.9     | Worse               |               |
| 7                                       | Family homelessness (per 1000 households)  | 1.9     | 0.7   | 0.3        | 0.3      | Stable              |               |
| 8                                       | Children in care (rate per 10,000 of under 18's)                                       | 60      | 82    | 68         | 66       | Worse               |               |

| <b>Health Improvement</b>       |  |       |       |       |       |        |  |
|---------------------------------|--|-------|-------|-------|-------|--------|--|
| 9                               | Percentage of 4-5 year olds classed as obese   | 9.3   | 9.8   | 9.3   | 9.4   | Stable |  |
| 10                              | Percentage of 10-11 year olds classed as obese   | 19.8  | 20.6  | 18.9  | 18.4  | Worse  |  |
| 11                              | Percentage of children (aged 5) with decayed, missing or filled teeth                        | 24.8  | 33.4  | 32.0  | 34.9  | Stable |  |
| 12                              | Hospital Admissions due to alcohol specific conditions (rate per 100,000 under 18 year olds) | 36.6  | 53.5  | 56.0  | 62.7  | Better |  |
| 13                              | Hospital Admissions due to substance misuse (rate per 100,000 15-24 year olds)               | 95.4  | 139.6 | 137.6 | 132.6 | Worse  |  |
| <b>Prevalence of ill health</b> |  |       |       |       |       |        |  |
| 14                              | Accident and Emergency attendances for children aged 0-4 (rate per 1000)                     | 587.9 | 699.1 | 564.0 | 526.7 | Worse  |  |
| 15                              | Hospital admissions caused by injuries in children aged 0-14 years (rate per 10,000)         | 104.2 | 139.2 | 148.6 | 151.1 | Stable |  |
| 16                              | Hospital admissions for asthma (under 19 years, rate per 100,000)                            | 202.4 | 317.2 | 342.2 | 379.8 | Stable |  |
| 17                              | Hospital admissions for mental health conditions (rate per 100,000)                          | 85.9  | 111.6 | 120.6 | 114.8 | Worse  |  |
| 18                              | Hospital admissions as a result of self-harm (10-24 years, rate per 100,000)                 | 430.5 | 520.5 | 549.8 | 504.3 | Worse  |  |

Source – Public Health England. Child Health Profiles 2017

Lancashire performance is worse than the benchmark in respect of premature mortality and hospitals admissions for a variety of reasons including asthma, alcohol, drugs, mental health and self-harm. In contrast Lancashire is performing better than the benchmarked average for A&E attendance for 0-4 year olds, first time entrants to the youth justice system, homelessness, low income families and obesity in 10-11 year olds.

In terms of Lancashire's current performance compared to the previous time period, improvements have been made with regards to child development at the end of reception, percentage of 16-18 year olds not in education, training or employment and hospital admissions due to alcohol. This improvement on the previous period is important to note since compared purely to the benchmarked RAG rating Lancashire's position for these areas remains stable or has worsened.

In summary the information contained within the table above suggests that challenges still exist for Lancashire in relation to:

1. Premature Mortality (infant and child)
2. Self-Harm and Mental Health
3. Hospital admissions due to substance misuse

It is of concern that that these areas of challenge are consistent with those highlighted in last year's Annual Report without insufficient evidence of progress.

### **2.2.1 Safeguarding and supporting children in specific conditions**

The information contained within the following table provides annual data for some of our main performance indicators relating to supporting children with specific needs.

| <b>Indicator</b>   | <b>2014/15</b> | <b>2015/16</b> | <b>2016/17</b> | <b>Comments</b>  |
|--|----------------|----------------|----------------|--|
| Number of Police Vulnerable Child (PVC) referrals with a Child Sexual Exploitation (CSE) marker        | 975            | 1220           | 1190           | The number of vulnerable children referred to the Police with a CSE marker has reduced marginally (2.5%) compared to the previous year. In 2016/17 there were 1190 compared with 1220 in 2015/16.  |
| Number of Domestic Violence notifications from Police where a child is recorded to live at the address | 9354           | 8644           | 10258          | In 2016/17 there were 10258 Domestic Violence notifications from the Police where a children was recorded to be living at the address, this is 18.7% higher than the previous year and reverses the reducing trend that had been seen over the past 2 years.                               |
| The rate of violent and sexual offences against children aged 0-17 per 10,000 of U18 population        | 130.9          | 160.6          | 169.7          | There is a continued increase in the rate of violent/sexual offences against children. The rate in 2016/17 is 169.7 (per 10,000 of the under 18 population, this is an increase of 9.1 compared to the previous year). The rate has increased by 51.6 since 2013/14 (2013/14 rate – 118.1) |
| Of those cases discussed at MARAC, the number of children in the household                             | 2456           | 2519           | 2566           | The number of children in the household for MARAC cases discussed has risen by 1.9% from 2519 in 2015/16 to 2566 in 2016/17.   |
| Privately fostered children  | 28             | 26             | 26             | The number of Lancashire children identified as privately fostered has remained stable. Quarterly figures available throughout the year show slight changes in numbers but no definite increasing/decreasing pattern.  |
| CLA placed in Lancashire from other LA (at year end)   | 981            | 986            | 970            | A slight decrease in this figure, although numbers remain relatively stable with monthly fluctuations evident throughout the year. A high proportion of those looked after from out of area originate from neighbouring local authorities  |
| Local Authority Designated Officer Allegations/ Investigations against professionals                   | 491            | 496            | 547            | The number of referrals referred to the Local Authority Designated Officer (LADO) have increased by 10.3%. There were 547 referrals to the LADO in 2016/17 compared to 496 in the previous year.   |
| Independent Reviewing Officer Caseloads  | 109            | 92             | 75             | The recommended National caseload for IRO's is 50-70 (IRO Handbook). 2016/17 saw a notable decrease in IRO Caseloads   |



| Indicator | 2014/15 | 2015/16 | 2016/17 | Comments  |
|-----------|---------|---------|---------|---|
|           |         |         |         | within Lancashire with an average at year end of 75 compared to 92 at the same point in the previous year. This is a percentage reduction of 18.5%. |

### **Children Missing from Home/Care/Education**

|  | 2015/16 |       |       |       | 2016/17 |       |       |       |
|--|---------|-------|-------|-------|---------|-------|-------|-------|
|  | Q1      | Q2    | Q3    | Q4    | Q1      | Q2    | Q3    | Q4    |
| Missing from home  | 503     | 514   | 522   | 527   | 411     | 425   | 365   | 362   |
| % of children reported missing who were looked after by the local authority                                    | 17.6%   | 23.1% | 24.3% | 16.8% | 21.8%   | 20.6% | 20.8% | 20.9% |
| Number of children confirmed as missing from education (not on school roll or receiving alternative provision) | 41      | 44    | 62    | 75    | 62      | 64    | 59    | 88    |

The number of missing from home episodes has fallen 24.3%, from 2066 in 2015/16 to 1563 in 2016/17. Throughout 2016/17, 20-21% of those children reported missing were looked after children. LCC Business Intelligence report that system and procedure change has occurred along with who is now responsible for recording the missing episode on Liquidlogic Children's System (LCS). This is now the responsibility of admin. Missing episodes are now being accurately captured on the system and duplicate missing episodes have ceased to be recorded on LCS. In the past there would often be multiple missing episodes recorded on the same child for the same day. Indeed some of these would be multiple episodes but often would merely be a duplication of entry.

Information from the children missing from education team confirms that there were 273 children missing from education in 2016/17, this is 22.4% higher than the previous year. This increase is partly due to improved reporting and recording.

### **Referrals to Children's Social Care**

Referrals to Children's Social Care refers to the number of referrals which are accepted by Children's Social Care. In 2016/17, the number of referrals accepted by Children's Social Care has fallen by 18.5% in 2016/17 compared to the previous year, this translates to a rate of 412.5 for 10,000 child population in Lancashire.

It is important to note that the calculation in respect of the number of referrals changed from April 2014. Only referrals that progress to an assessment are now counted, which brings Lancashire's statistics in line with other local authorities in the North West region.

|  | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
|--|---------|---------|---------|---------|
| <b>Lancashire (number)</b>                           | 19460   | 12394   | 12156   | 9907    |
| <b>Lancashire (rate per 10,000 child population)</b> | 799.2   | 506.4   | 495.1   | 412.5   |

Data for the last 2 years shows the referrals to Children's Social Care are on a downward trajectory, but with monthly fluctuations and considerably difference in numbers and rate across the different districts in Lancashire.

### **Repeat Referrals**

The table below shows the percentage of referrals that were repeat referrals to Children's Social Care. A repeat referral is one which is received within 12 months of initial referral. The repeat referrals rate in 2016/17 is 19.1% which is 3.4% higher than the previous year.

|                       | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
|-----------------------|---------|---------|---------|---------|
| <b>% Re-referrals</b> | 15.1%   | 15.7%   | 15.7%   | 19.1%   |

Monthly data for this indicator shows the percentage of repeat referrals on an upwards trajectory through 2016/17, however with considerable monthly peaks and troughs in the data. The fact that there are fewer referrals accepted by Children's Social Care overall and a greater percentage of those received are re-referrals implies that the number of new children and young people that Children's Social Care are working with is falling.

### **Percentage of assessments completed to timescale**

|                   | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
|-------------------|---------|---------|---------|---------|
| <b>Lancashire</b> | 96.1%   | 79.8%   | 73.2%   | 75.0%   |
| <b>North West</b> | 85.1%   | 82.2%   | 83.3%   | tbc     |
| <b>England</b>    | 82.2%   | 81.5%   | 83.4%   | tbc     |

75.0% of Lancashire's single assessments were completed within timescales (45 working day target). This has increased by 1.8% compared to the previous year. Although North West and England averages for 2016/17 are not yet available, comparison with the previous year benchmarks indicate that Lancashire's assessment completion percentages remain below the regional and national figures. It is promising to see that the percentage has increased on the previous year and important to consider this information alongside the referral rates and high social worker workloads.

### **Children in Need (per 10,000 of the child population)**

| <b>Children in Need</b>          | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
|----------------------------------|---------|---------|---------|---------|
| <b>Lancashire (number)</b>       | 9,034   | 8,534   | 9,316   | 8,377   |
| <b>Lancashire (rate per 10K)</b> | 371.5   | 348.7   | 380.1   | 342.3   |
| <b>England</b>                   | 346.4   | 337.3   | 337.7   | tbc     |

The number of children in need has fallen by 10.1% compared to the previous year, with 8377 children in Lancashire classed as Children in Need. This reducing number in turn lowers the rate per 10,000 of the child population from 380.1 in 2015/16 to 342.4 in 2016.17. The National rate is not yet available, however based on the previous year's rate, Lancashire are just above the National

Average. The rate is now much closer in line with the 2014/15 data, which may suggest that the increase in the previous year occurred in part at least in response to the concerns raised by an inadequate Ofsted inspection.

### **Children subject to a Child Protection Plan (per 10,000 of the child population)**

| <b>Children subject to a Child Protection Plan</b> |                |                |                |                |                |                |                |
|--|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
| <b>Area</b>  | <b>2010/11</b> | <b>2011/12</b> | <b>2012/13</b> | <b>2013/14</b> | <b>2014/15</b> | <b>2015/16</b> | <b>2016/17</b> |
| Lancashire rate                                    | 27             | 23             | 36             | 44.4           | 38.9           | 59.0           | 57.0           |
| England Rate                                       | 39             | 38             | 38             | 40             | 42.1           | 42.9           | Tbc            |

Last year, a significant increase in the number of children subject to a Child Protection Plan was reported (from 38.9 in 2014/15 to 59.0 in 2015/16). In 2016/17 the rate dropped marginally from 59.0 to 57.0. Although there has been a reduction in 2016/17 the annual rate is likely to still be well above the national average (based on the most recently available national rate). Monthly data as monitored by the performance sub-group to the board indicates that although the overall trajectory continues upwards, since October 2016 the rate of children subject to a child protection plan has begun to fall consistently. If this trend continues in to 2017/18, it is likely that the child protection plan rate will continue to fall.

The significant increase reported last year was considered to have occurred due to the Local Authorities response to the concerns raise in the Ofsted Inspection, with a significant number of cases being escalated to Child Protection Plans. It is important that assessments and interventions result in the right children receiving the correct level of service based on their needs, however the board recognises that high numbers of children on child protection plans has contributed to high social worker caseloads and puts pressure on other agencies who are involved in meeting the needs of the children on child protection plans.

The reason for a child being subject to a Child Protection Plan is categorized by need and recorded under the following headings: Neglect; Physical Abuse, Sexual Abuse, Emotional Abuse or Multiple Categories (data as below).

### **Child Protection Plans by Abuse Type**

| <b>Lancashire Percentage</b> | <b>Neglect</b> | <b>Physical Abuse</b> | <b>Sexual Abuse</b> | <b>Emotional Abuse</b> | <b>Multiple Categories</b> |
|------------------------------|----------------|-----------------------|---------------------|------------------------|----------------------------|
| <b>2014</b>                  | 40%            | 11.9%                 | 4.1%                | 34.6%                  | 9.3%                       |
| <b>2015</b>                  | 34%            | 6.1%                  | 2.5%                | 48.8%                  | 8.8%                       |
| <b>2016</b>                  | 33.8%          | 6.9%                  | 4.9%                | 50.3%                  | 4.1%                       |
| <b>2017</b>                  | 32.4%          | 4.2%                  | 6.0%                | 48.6%                  | 8.8%                       |

Most recently available data (March 2017) shows an increase in the percentage of child protection plans whereby the need related to 'sexual abuse' or 'multiple categories'. Multiple categories is hard to analyze since we cannot know what types of abuse this category are experiencing. It would also

be interesting to know whether there is a pattern to the types of abuse categories which most commonly occur together. It is interesting that the percentage of child protection plans for sexual abuse has increased, this may be as a result of improved recording or greater propensity of children and young people to report sexual abuse; perhaps indicating an increase in public awareness of sexual abuse.

In last year's Annual Report attention was drawn to the fact that the number of children supported due to sexual abuse was 'concerningly low' (2015 – 2.5%). Work was undertaken to try to ascertain whether this low number was indicative of the fact that nationally intra-familial sexual abuse often goes unrecognized. Unfortunately there isn't sufficient data to be able to know the proportion of children on child protection plans specifically due to intra-familial sexual abuse; the sexual abuse data isn't broken down to that level of detail. The rate in respect of sexual abuse remains, however, well below what would be expected given national prevalence statistics based on self-reporting by adults.

### **Child Protection Plans Lasting Two Years or More**

This measure provides an indication of whether children or young people and their families are receiving the services necessary to bring about the required changes on a timely basis. This is based on the fact that a long period on a Child Protection Plan may indicate a lack of targeted support and potential drift in the case. In 2015/16 the figure had risen to 3.7%, in 2016/17 this has fallen to 2.9%. This is now lower than the most recently available national rate of 3.7%.

| Area            | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
|-----------------|---------|---------|---------|---------|---------|---------|---------|
| Lancashire rate | 4.8%    | 4.4%    | 2.4%    | 1.2%    | 3.0%    | 3.7%    | 2.9%    |
| England Rate    | 6.0%    | 6.0%    | 5.2%    | 3.5%    | 2.6%    | 3.7%    | tbc     |

### **Children Looked After (CLA)**

At 2016/17 year end Lancashire had responsibility for 1864 1691 Lancashire looked after children, this equates to a rate of 76.2 per 10,000. This a 10.2% increase in the number of looked after children at the end of the previous year (2015/16 – 1691 Lancashire looked after children). Assuming that the regional and national averages don't alter drastically from previous years (current benchmarks not yet available), Lancashire's CLA rate remains above the national average but below the North West average, despite the 10.2% increase. It will be interesting to see whether the rate of increase demonstrated within Lancashire over the last 5 years continues and whether the regional and national benchmarks experience a similar percentage increase when their rates are updated.

| Rate of CLA     | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
|-----------------|---------|---------|---------|---------|---------|---------|---------|
| Lancashire rate | 53      | 54      | 60.9    | 66.3    | 67.2    | 69.1    | 76.2    |
| North West Rate | 77      | 76      | 79      | 78      | 81      | 82      | tbc     |
| England Rate    | 59      | 59      | 60      | 60      | 60      | 60      | tbc     |

In addition approximately a thousand children who are looked after by other local authorities placed in Lancashire, residing in Private/Independent Children's Homes or with foster carers. As stated in data above, the number of looked after children from out of area fluctuates on a monthly basis. Confidence in the accuracy of these figures has improved throughout 2016/17, however there is some concern that there is still scope for improvement with regards to timeliness of notifications being received. This is an area that the quality and performance sub-group intend to consider via focus group activity.

### **Social Worker Caseloads**

The following table shows the average social worker caseloads within Children's Social Care by month and level of social worker experience. The colour coding is provided for the Ofsted Improvement Board. The information within the table and as graphed below illustrates that social worker caseloads have fallen for all experience levels over the last year.

| Experience         | Apr-16 | May-16 | Jun-16 | Jul-16 | Aug-16 | Sep-16 | Oct-16 | Nov-16 | Dec-16 | Jan-17 | Feb-17 | Mar-17 |
|--------------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| <b>NQSW</b>        | 22.3   | 20.8   | 19.1   | 18.6   | 16.1   | 17.8   | 18.6   | 16.9   | 16.2   | 17.7   | 15.8   | 17.3   |
| <b>1-2 years</b>   | 25.7   | 26.5   | 23.3   | 22.3   | 21.7   | 22.1   | 21.1   | 20     | 19.5   | 19.3   | 18     | 19.7   |
| <b>2-3 years</b>   | 25.5   | 27.6   | 24.9   | 24.5   | 19.5   | 21.8   | 19.8   | 17.9   | 19.5   | 18.8   | 19.6   | 20.1   |
| <b>3-5 years</b>   | 28.6   | 27.7   | 24.2   | 25.5   | 22.5   | 21.9   | 21     | 20.1   | 19.2   | 18.6   | 17.6   | 19.9   |
| <b>5 years +</b>   | 27     | 28.1   | 27.4   | 26.8   | 22.8   | 25.4   | 20.4   | 23.4   | 22.1   | 19.6   | 21.3   | 24.3   |
| <b>Grand Total</b> | 25     | 24.7   | 22.5   | 22.1   | 19.4   | 20.5   | 19.6   | 18.8   | 18.2   | 18.4   | 17.4   | 19.1   |

### **Early Help**

The Common Assessment Framework (CAF) is an assessment and early help framework for children and families in need of help.

During 2016/17 a total of 5,115 CAF assessments were completed, this is an increase of 22.2% on the previous year when 4,185 completed in 2015/16. The number of CAFs open at the end of each quarter (including SEN) in 2016/17 ranged from 8,000 to 9,300. In 2015/16, the highest number of CAFs open occurred in the final quarter of year when 8,293 CAFs were open. By quarter 4 of 2016/17, the number of CAFs open at the period end had risen to 9,285; this is 11.9% higher than the same point in the previous year.

2016-17 data indicates that the percentage of CAFs closed each quarter for 'needs met' fluctuates between 57%-64%, with 11%-18% of CAFs closing because the case requires escalation to statutory assessment. There has been significant work undertaken this year to encourage agencies to complete a CAF. The importance of the CAF assessment will increase since a greater proportion of services delivered by the wellbeing, prevention and early help service are targeted support, which by its nature requires an assessment of need prior to the service being able to complete any work with a child or young person.

| Early Help  | 2015/16 |      |      |      | 2016/17 |      |      |      |
|---|---------|------|------|------|---------|------|------|------|
|   | Q1      | Q2   | Q3   | Q4   | Q1      | Q2   | Q3   | Q4   |
| Number of CAFs initiated in the period            | 1131    | 986  | 1038 | 1030 | 1071    | 970  | 1470 | 1604 |
| Number of CAFs open (including SEN) at period end | 7781    | 8059 | 8272 | 8293 | 8510    | 8041 | 9253 | 9285 |

|  |     |     |     |     |     |     |     |     |
|--|-----|-----|-----|-----|-----|-----|-----|-----|
| % of CAFs closed in period due to 'needs met'                        | 65% | 69% | 65% | 65% | 57% | 64% | 60% | 64% |
| % of CAFs closed in period due to escalation to statutory assessment | 13% | 17% | 16% | 17% | 18% | 16% | 11% | 12% |

### **Police Data – Protecting Vulnerable Persons - Child (PVP - VC) referrals**

|  | 15/16 | 16/17 | diff  | Comments   |
|--|-------|-------|-------|--|
| Total PVP referrals – vulnerable children (VC)         | 8067  | 8738  | 8.3%  | The number of PVP referrals for vulnerable children has risen by 8.3% from 8067 in 2015/16 to 8738 in 2016/17.   |
| High risk PVP referrals – VC                           | 3391  | 3535  | 4.2%  | The number of high risk PVP referrals for vulnerable children has risen by 4.2% to 3535 high risk referrals in 2016/17. High risk referrals account for 40.5% of PVP referrals for vulnerable children in 2016/17.   |
| Medium risk PVP referrals – VC                         | 3804  | 4139  | 8.8%  | The number of medium risk PVP referrals for vulnerable children has risen by 8.8% to 4139 medium risk referrals in 2016/17. Medium risk referrals account for 47.4% of PVP referrals for vulnerable children in 2016/17.   |
| Standard risk PVP referrals – VC                       | 872   | 1064  | 22.0% | The number of standard risk PVP referrals for vulnerable children has risen by 22.0% to 1064 standard risk referrals in 2016/17. Standard risk referrals account for 12.6% of PVP referrals for vulnerable children in 2016/17.  |
| PVP referrals flagged for Child Sexual Exploitation    | 1220  | 1190  | -2.5% | The number of PVP referrals flagged for Child Sexual Exploitation have fallen by 2.5% from 1220 to 1190.   |
| PVP referrals flagged for Domestic Abuse               | 409   | 462   | 13.0% | The number of PVP referrals flagged for domestic abuse have risen by 13.0% from 409 to 462.  |
| PVP referrals flagged for so called Honour Based Abuse | 18    | 28    | 55.6% | The number of PVP referrals flagged for so called honour based abuse rose by 55.6% from 18 to 28. The percentage increase should be considered with caution, comparatively low numbers compared to other referral flags mentioned above mean that the percentage swing is greater. |
| PVP referrals flagged for Missing from Home            | 945   | 1059  | 12.1% | In 2016/17 there were 1059 PVP referrals for vulnerable children flagged due to 'missing from home'. This is a 12.1% increase compared to the previous year.   |

ePVP referrals are flagged according to any specific safeguarding concerns, data relating to the number of cases flagged for specific safeguarding concerns is useful to the sub-group since it helps us to identify whether there are specific emerging trends that the board may need to be cited on. PVP information is considered by the sub-group over a time series to help ensure that any seasonal fluctuations or unique increases/decreased in referrals are considered in context.

The cases flagged for specific vulnerabilities pose an interesting question when considered by the sub-group. It is always difficult for agencies to be able to ascertain whether an increase in cases reported for safeguarding concerns such as domestic abuse and CSE represent an actual increase in the number of cases, or whether greater public awareness has had an effect on public confidence and willingness to report such issues to the Police.

### **2.2.2 Summary**

While these figures demonstrate the totals for Lancashire, it is crucially important to bear in mind the notable district and local area variations that exists across Lancashire. It is an ongoing challenge for all agencies within Lancashire to ensure that the services which are provided for children and young people are equitable but also meet the needs of specific areas of the county. It is for this reason that the LSCB quality and performance sub-group have invested time in sourcing and reporting on data not just at Lancashire level, but also at district level; to ensure that the board are aware of local variations and thus the impact that these may have on services.

The LSCB's performance scorecard is continually reviewed to ensure that the information presented to the board is relevant and representative of the Lancashire demographic and of the agencies that serve our Children and Young People. There are an ongoing challenges in receiving regular, accurate and timely performance data from all partner agencies on a countywide basis and ensuring that the information that is presented to board is of use and relates back to the safeguarding agenda.









### 3. What do we know about services in Lancashire and their effectiveness?

#### 3.1 Member agencies

The Boards request submission of information about the quality of safeguarding in its member agencies either via external inspection activity or through direct annual feedback. The feedback reports embedded below have been presented to the Board to reflect the work undertaken by the agencies during 2016-17.

**Lancashire County Council** provides support for vulnerable adults, children and their families through direct services from: Adults Social Care; Adults Disability Service; Domiciliary Care; Older People Services (residential and day care); Public Health services; Children’s Social Care; Wellbeing, Prevention and Early Help Services; Schools and specific support for children involved in the criminal justice system via the Youth Offending Team (YOT).

The Local Authority has strong representation on LSAB and LSCB and its sub groups, with regular attendance. Two of the LSAB sub groups are chaired by LCC Board members: Practice with Providers; and Safeguarding Adults Leadership Group.

|                           |   |   |  |
|---------------------------|---|---|--|
| 2016/17 Feedback Reports: | <p style="text-align: center;">Adults Safeguarding</p> <div style="text-align: center;">   </div> <p style="text-align: center;">LCC Adults.pdf</p> | <p style="text-align: center;">Children's Services</p> <div style="text-align: center;">   </div> <p style="text-align: center;">LCC - Children's Services.pdf</p> | <p style="text-align: center;">Wellbeing, Prevention and Early Help</p> <div style="text-align: center;">   </div> <p style="text-align: center;">WPEH.pdf</p> |
|---------------------------|---|---|--|

**Lancashire Constabulary** covers the former county area which now includes Lancashire County Council, Blackburn with Darwen and Blackpool. It delivers its services through three divisions (East, West and South). It provides direct policing across the county and is fully engaged in partnership safeguarding services as part of the Child Sexual Exploitation teams, Multi-agency Safeguarding Hub, Multi-Agency Risk Assessment Conferences and Multi-agency Public Protection Arrangements. Increasingly the force has been moving its focus towards early action and preventative policing.

Lancashire Constabulary is represented on the LSAB and LSCB and its sub groups, with a representative chairing the Lancashire CSE Operational Group during 2016/17.

|                          |  |
|--------------------------|--|
| 2016/17 Feedback Report: | <div style="text-align: center;">   </div> <p style="text-align: center;">Lancs Constabulary.pdf</p> |
|--------------------------|--|

Six **Clinical Commissioning Groups (CCGs)** operate across Lancashire and are responsible for commissioning most hospital and community healthcare services. From April 2015 co-commissioning arrangements were brought in which involves CCGs in the commissioning of primary care services. The 6 CCGs in Lancashire are:



- Fylde and Wyre CCG
- Lancashire North CCG (Morecambe Bay CCG as of 1 April 2017)
- East Lancashire GGG
- Chorley and South Ribble CCG
- Greater Preston CCG
- West Lancashire CCG







All CCGs are well represented on both Boards, attending regularly. A number of our sub groups are Chaired by CCG representatives: LSAB/LSCB Learning and Development Groups; Safeguarding Adult Review (SAR)/ Serious Case Review (SCR) Groups; Mental Capacity Act (MCA) Implementation Sub Group; Safeguarding Adults Leadership Group; and Practice with Provider Sub Group.

|                          |  |
|--------------------------|--|
| 2016/17 Feedback Report: | <br>Collective CCG Response.pdf |
|--------------------------|--|

Seven **NHS Hospital Trusts** provide a range of community and acute services for children and vulnerable adults. The NHS hospital trusts that serve the Lancashire area as follows:

- Blackpool Teaching Hospitals NHS Foundation Trust
- East Lancashire Hospital Trust
- Lancashire Care NHS Foundation Trust
- Lancashire Teaching Hospitals Foundation Trust
- Mersey Care NHS Foundation Trust (Whalley)
- Southport and Ormskirk Hospital Trust
- University Hospital Morecambe Bay NHS Foundation Trust

With the exception of Mersey Care, all Trusts are represented on the LSCB and attend on a regular basis. The representative for East Lancashire Hospital Trust is the Chair of the LSCB QAPI Sub Group. Lancashire Care Foundation Trust; Lancashire Teaching Hospitals; and Mersey Care are all represented on the LSAB.

|   |  |  |
|---|--|--|
| 2016/17 Feedback Reports:   |  |  |
| <p>Blackpool Teaching Hospital</p>  <p>BTH.pdf</p><br><p>Lancs Teaching Hospital</p>  <p>Lancashire THT.pdf</p> | <p>East Lancs Teaching Hospital</p>  <p>ELHT.pdf</p><br><p>Mersey Care Foundation Trust</p>  <p>Merseycare.pdf</p> | <p>Lancs Care Foundation Trust</p>  <p>LCFT.pdf</p><br><p>Southport and Omrskirk Hospital</p>  <p>SOHT.pdf</p> |

**Lancashire Probation Trust** (now: HM Prison and Probation Service) – The specific duties of the National Probation Service (NPS) are: to provide advice to Courts and deliver pre-sentence assessments; management of all high risk of serious harm offenders; management of all offenders sentenced to 12 months or more for a serious sexual or violent offence; and the management of all offenders who are subject to statutory supervision and are registered sex offenders.


Public protection, including safeguarding children and vulnerable adults is a key priority and thorough and robust safeguarding arrangements are in place. The service work closely with other agencies and make necessary checks and referrals at pre-sentence stage and throughout our period of contact. In Lancashire the service currently supervises around 3,440 cases, predominantly violent and sexual offenders with a high number of domestic violent offenders.

The Probation service is represented on both the LSAB and LSCB, attending regularly and engaging in work of the sub groups and task and finish approaches.

|                          |  |
|--------------------------|--|
| 2016/17 Feedback Report: |  <br>NPS.pdf |
|--------------------------|--|

**Cumbria and Lancashire Community Rehabilitation Company (CLCRC)** delivers offender management and rehabilitation services to offenders assessed as presenting a low and medium risk of serious harm. These could be serving community sentences or be sentenced to custody in which case CLCRC will be involved in their rehabilitation both inside prison and in supervising the post release licence. CLCRC delivers a range of programmes to help rehabilitate offenders by providing access to learning new skills, changing and challenging offenders thought processes and managing risky behaviour. In particular, and central to safeguarding, CLCRC delivers 2 specific domestic abuse programmes in addition to modules to address emotional resilience, conflict resolution and stress resilience.

CLCRC is represented on both the LSAB and LSCB with regular attendance and engagement with various workstreams.

|                          |   |
|--------------------------|---|
| 2016/17 Feedback Report: |  <br>CRC Cumbria & Lancashire.pdf |
|--------------------------|---|

**Children and Family Court Advisory and Support Service (Cafcass)** is a non-departmental public body sponsored by the Ministry of Justice. The role of Cafcass within the family courts is: to safeguard and promote the welfare of children; provide advice to the court; make provision for children to be represented; and provide information and support to children and families.

Cafcass is represented on the LSCB, attending on a regular basis.

|                          |  |
|--------------------------|--|
| 2016/17 Feedback Report: |  <br>- CAFCASS.pdf |
|--------------------------|--|

**The Children's Society** is a charity organisation which provides support and services for 10 to 18 year olds who are especially vulnerable and often experiencing severe and multiple disadvantage.

The charity is represented on the LSCB, providing a voice and perspective for the Voluntary Sector. Representatives are heavily involved with the work of our sub groups, particularly Child Sexual Exploitation (CSE).

|                          |   |
|--------------------------|---|
| 2016/17 Feedback Report: | <br>The Children's Society.pdf |
|--------------------------|---|

**Lancashire Fire and Rescue Service (LFRS)** delivers Prevention, Protection and Response functions across the county of Lancashire, employing staff in a variety of roles operating from 39 operational bases. The service works extensively with partner organisations to allow for a more efficient and effective delivery in order to keep the residents of Lancashire safe.

LFRS joined the membership of both Boards during the reporting year, attending regularly and engaging with various pieces of work.




|                          |   |
|--------------------------|---|
| 2016/17 Feedback Report: | <br>Lancashire Fire & Rescue.pdf |
|--------------------------|---|

There are 12 **District Councils** providing services across the county. All 12 have a nominated safeguarding lead and ensure staff are appropriately trained in respect of safeguarding issues.

Engagement with the Districts has improved over the reporting year, with successful challenge panels taking place with regard to the annual safeguarding audits, and regular attendance of the Business Manager at Districts Leads Safeguarding Groups.

The District Councils have historically been represented by one Chief Executive on the LSCB, and has more recently been added to the membership of the LSAB. The current representative is the Chief Executive for Wyre Council, who provides feedback to the other Districts via the Chief Executives Group.

Two District Councils have shared their achievements and challenges from the reporting year.

|                          |  |  |   |
|--------------------------|--|--|---|
| 2016/17 Feedback Report: | <p>Wyre Council</p> <br>Wyre BC.pdf | <p>Burnley Council</p> <br>Burnley Council.pdf | <p>Burnley Council (Prevent)</p> <br>Burnley Council (Prevent).pdf |
|--------------------------|--|--|---|

**Schools** – There are over 600 mainstream schools (including 29 special schools and 9 short stay schools) of which currently 8 have been judged to be inadequate. There are also a significant

number of schools and organisations providing education outside the public sector. The LSCB is notified if a school is judge to be inadequate in respect of safeguarding when inspected by Ofsted and liaises with the local authority to ensure appropriate steps are taken. Provisional data provided by Ofsted suggests 94.5% of Primary Schools and 77.1% of Secondary Schools were rated as Good or Outstanding as at April 2017.

Education providers are represented on the LSCB via a Primary School Head teacher; Secondary School Head teacher; Lancashire Association of School Governors; and a representative from Further Education. The Secondary representative stepped down at the end of March 2017 and the LSCB are currently seeking a replacement.


Our Further Education representative is from Burnley College and has provided a feedback report for 2016/17:



Burnley College  
(FE).pdf

**Healthwatch Lancashire** is the public voice for health and social care in Lancashire and exists to make services work for the people who use them.

The Chief Executive represents the organisation on the LSAB and Chairs the LSAB QAPI Sub Group.

|                          |  |
|--------------------------|--|
| 2016/17 Feedback Report: | <br>Healthwatch.pdf |
|--------------------------|--|

**Lancashire Care Association (LCA)** is a not-for-profit company representing independent care sector providers (private and third sector; larger groups and small independents; adults and older people care homes and domiciliary care.) LCA supports providers in ensuring the provision of safe services; quality, performance and inspection monitoring; and partnership working through the Health and Social Care Partnership.

The LCA is represented on the LSAB and a number of its sub groups and task and finish groups to offer a 'provider' voice in safeguarding arrangements.

|                          |   |
|--------------------------|---|
| 2016/17 Feedback Report: | <br>LCA & HSCP.pdf |
|--------------------------|---|

**North West Ambulance Service (NWAS)** provides 24 hour, 365 days a year accident and emergency services to those in need of emergency medical treatment and transport in Cumbria and Lancashire; Cheshire and Merseyside; and Greater Manchester. Employing over 4,900 staff across the North West region, the service provides emergency response; transport for patients attending

hospital appointments; and deals with major incidents. NWAS also delivers the NHS 111 service in the North West.

NWAS are currently compiling an annual report for the geographical footprint which will be shared with the 46 LSABs and LSCBs in the area on completion.

**Private/Independent Sector Providers** – There is a wide range of community support services available across Lancashire, including drug and alcohol services, sexual health services and domestic abuse services.

**Housing providers** – the area is supported by a wide range of private providers, Registered Social Landlords (RSLs), hospices and hostels, sheltered housing provision and local authority housing provide accommodation across the County. Progress Housing represent the sector on the LSAB.

There are over **100 children's homes** in the County with a high percentage of private providers. Many of the children placed are out of area placements. The LSCB receives notification of any provider that is judged to be inadequate by Ofsted with regard to safeguarding.

681 **child minders** provide day care across the County along with, 327 day nurseries and 129 pre-school play groups. As at the end of June 2017, there were no Inadequate Child Minders or Children's Homes.

The Board itself exercises challenge and scrutiny of agencies using a number of mechanisms for assessing the quality of local services and agencies commitment to safeguarding. These include:

### **3.2 Section 11 Audit Process:**

Section 11 of the Children Act 2004 sets out agencies responsibilities in respect of safeguarding children and the LSCB conducts an annual audit of all member agencies safeguarding arrangements. The section 11 audit tool has been updated in recent years to encourage agencies to consider their safeguarding arrangements specifically in relation to training for counter terrorism and child sexual exploitation, and to demonstrate how they respond to learning raised through Serious Case Reviews.

Once completed, the audit tool provides the board with assurance that all agencies have the necessary arrangements in place to safeguard children effectively. Compliance levels are generally high across the standards set out in the audit, the 2016/17 response rate is 84.8% (as at 3 July).

The area which is most frequently scored amber is training, where not all staff have been trained to the correct level or have access to specialist safeguarding reflective supervision. To complement the generic section 11 tool, an additional 'training s11' was devised by the Learning & Development sub-group and distributed for completion at the same time as the main s11. As of 3 July only 7 of the 'training s11's' had been returned to the LSCB Training Coordinator. Of the total responses received, 89.1% were graded green and 10.9% graded amber.

The 2016 Section 11 returns are currently being quality assured by members of the Quality Assurance and Performance Information (QAPI) sub-group to ensure that they have met the minimum requirements for each section of the audit tool. Based on this exercise, the sub-group will then select agencies to visit for a challenge event. The purpose of the challenge event is to test that the statements made in the section 11 are evidenced in practice and that staff are familiar with safeguarding policies and procedures.

The Adult's QAPI sub-group are in the process of considering ways in which they can mirror the section 11 process in order to gain assurances that vulnerable adults are appropriately safeguarded. Where possible the LSAB will seek to mirror processes which are already working well for the LSCB.

### **3.3 Thematic Audits**

#### **3.3.1 Suicides**

Last year, the LSAB reported concerns regarding the suicide rate in Lancashire being one of the highest in the country, and later raised the concerns with the Health and Wellbeing Board. During the reporting year the LSAB has taken various actions in an attempt to address the issue:

- Explored the option of a Task and Finish Group to further understand the issues surrounding suicides. Initial scoping around the task group highlighted a national imperative around the issues and following conversations with Public Health colleagues it was agreed a wider group would be established on a Sustainability and Transformation Partnerships (STP) footprint with Lancashire and South Cumbria. It was therefore agreed that the link to attend this group and regular updates back to the LSAB would be provided by the LSAB NHS England representative and the Director of Public Health who would provide assurances that the issues were being addressed.
- The LSAB Chair engaged with the Lancashire Evening Post as part of a three-day special investigating the high rates of suicide in Preston, and other areas of Lancashire, with a view to heighten the awareness of the issue and campaign for further work to address it.
- Public Health colleagues initiated an audit of suicides during the reporting year, recently reporting the overall findings to both the LSAB and LSCB. The final report is currently being signed off and will be shared via Public Health. Both Boards are interested in the next steps to be taken following the audit and are fully supportive of any action to be taken, and will offer engagement as necessary.

#### **3.3.2 S47 Audit**

In July 2016 the LSCB completed an audit which looked at the areas of deficit identified by Ofsted in respect of the process for strategy meetings when S 47 investigations were being carried out.

The audit identified some issues about the timeliness of strategy meetings; recording of strategy meetings; multiagency engagement; and post-qualification experience of allocated social workers. Recommendations were made, and an action plan developed by the QAPI sub group which is now completed and signed off.

A re-audit of s 47 proceedings is due to take place Autumn 2017.



### 3.3.3 MASH Diagnostic

As reported in 2015/16 the LSCB commissioned a diagnostic review in order to assess existing Multi Agency Safeguarding Hub (MASH) arrangements and explore models in other areas with a view to redeveloping Lancashire's approach.

The findings from the diagnostic were reported to the LSAB and LSCB in September 2016, and the full report can be found at appendix 1. The overall findings of the review demonstrated that the primary aim of improving decision making through multi-agency information sharing was being achieved, however it was clear that the existing service design was not viable and needed urgent review, requiring input and commitment from all key agencies in order for a successful re-shaping of the service.

The review found that as much as two thirds of the work being processed via the MASH could be better dealt with – cases requiring an early help response could have been referred direct. While cases which clearly required an urgent and statutory response could go direct to the police investigator, the children’s and adult social care MASH process was seen as adding significant value in producing a multi-agency chronology to inform decision making on a very timely basis (3 hours target). This should be further explored as part of the service redesign.

The reality picture showed that MASH was only responding to police referrals; 3 MASH’s pan-Lancashire working differently creates a postcode lottery around vulnerability; with many ‘front-doors’ creating waste, failure and duplication. The MASH held excessive demand and therefore risk built into the system and does not include other agency referrals. Inconsistencies and gaps in service provision were identified.

The findings report made a number of recommendations as detailed below, along with a progress update:

| Recommendation  | 2016/17 Progress   |
|---|--|
| 1. Identify high level accountability and establish effective strategic group to drive forward to phase 2 | MASH Strategic Board established November 2016 (formally Steering Group), chaired by the LSAB/LSCB Independent Chair. The group oversees the development of the MASH and is responsible for improving safeguarding arrangements. |
| 2. Re-visit vision, objectives and customer cohort for MASH   | In-depth review of business processes has been completed using the Police "futures" team (see 3 below) and has resulted in a service redesign. There is now clarity about customer cohort and service pathways.                  |
| 3. Scope likely workload and identify resource requirements   | External consultant commissioned September 2016 to initiate the process of the service redesign. Scoping of Diagnostic   |

|   |   |
|---|---|
|   | <p>recommendations took place between Sept – Dec 2016 to inform how the re-design may be progressed. This included case tracking of contacts/referrals through CART, MASH and Customer Access; consultation with frontline practitioners and managers in Bury, Blackburn with Darwen and Lancashire; consultation with senior managers with LCC and Lancashire Constabulary; literature search to better understand national and regional MASH models; and interrogation of data in respect of demand and activity.</p>   |
| <p>4. Commission service redesign</p>   | <p>Redesign initiated and continues to progress in 2017/18. The following operational achievements were made in the reporting year:</p> <ul style="list-style-type: none"> <li>• Practice Managers screen all new contacts at the beginning of the process and provide direction to social workers in respect of action/timescales;</li> <li>• Practice Manager, Senior Social Worker and Business Support Officer are now in post to support CSE cases specifically;</li> <li>• Two Early Help practitioners are now within MASH to assist in developing timely step down processes;</li> <li>• CSC referral form amended to ensure more robust Information Sharing, and to align with Risk Sensible practice;</li> <li>• Improvement in partner engagement have been made, particularly with Probation; Fire and Rescue; and substance misuse services;</li> <li>• Development of Information Sharing Agreement; Memorandum of Understanding; and Privacy Impact Assessment, all of which are due to be formally signed off.</li> </ul> |
| <p>5. Agree areas for joint commissioning - including non-service specific staff e.g. referral assistants</p> | <p>While the possibility of joint commissioning in the future has not been ruled out, the current arrangements are based on partnership working.</p>  |



|   |  |
|---|--|
| 6. Agree multi-agency partners and single agency contribution/resource commitment   | A memorandum of understanding has been developed which outlines the role and contribution of each agency.  |
| 7. Explore integrated agency approach with single line management chain   | As a partnership rather than a jointly commissioned single service, each agency retains line management responsibility for their staff. Discussions continue, however the need for a "lead manager".   |
| 8. Explore options re single/central versus locality based arrangements   | <p>Co-located partners in MASH on a locality footprint (North, Central, East)</p> <p>Pilot established in the North, triaging and information sharing within one locality. Pilot includes the co-location of adult duty social worker.</p>   |
| <p>9. Identify and align under-pinning areas:</p> <p>a. Redesign e.g. Customer Services and Police Contact management</p> <p>b. Establishment of refreshed thresholds</p> | <p>A single point of contact ('Front Door') for all contacts and referrals on cases not open to CSC has been created and the distinction between MASH and CART (CART ceases to exist) removed.</p> <p>Changes to the role of Customer Access Services have been completed – social workers answer telephone calls and make recommendations based on the Continuum of Need (CON) for those not open.</p> <p>Multi-agency LSCB Task and Finish Group reviewed the CON levels and supporting thresholds guidance and launched July 2016.</p> <p>LSAB created Guidance for Safeguarding Concerns (re adults) to support professionals in making appropriate decisions to report concerns. Guidance includes appendices to provide guidance around Falls and medication errors.</p> |
| c. Development of common language and common risk assessment measures.  | Risk Sensible Practice model introduced into Children's Social Care. LSCB tasked with creating a supporting framework for multi-agency partners to ensure consistent approach  |

|  |   |
|--|---|
|  | and language are used across agencies. Multi-agency framework launched July 2017. |
|--|---|

### **3.4 Service Area Annual Reports**

The Board also receives a number of annual reports in relation to key multi-agency services. Reports are received regarding the following:

1. Local Authority Designated Officer (LADO)
2. Common Assessment Framework (CAF)
3. Wellbeing, Prevention and Early Help (WPEH)
4. Counter Terrorism
5. Domestic Abuse
6. Independent Reviewing Officer (IRO)
7. Multi-agency Public Protection Arrangements (MAPPA)
8. Secure Estate (Young offenders institutes)
9. Private Fostering

All service area annual reports for 2016/17 are available at Appendix 2.

### **3.5 Multi-Agency Audit Framework**

In 2016, the Boards introduced a new scheme of multi-agency audit activity which aims to identify good practice and to highlight areas for concern and development both on a single agency and multi-agency basis.

The QAPI sub groups are responsible for co-ordinating the audits and sets a specific topic for each (based on recommendations from the Boards; Ofsted Improvement Board; and findings from recent SCRs and SARs). There has been positive engagement from agencies, which means the audit process is proving successful so far. Agencies to have been involved include: Local Authority (CSC; WPEH; SEND); Health providers; Clinical Commissioning Groups; Education; Police; Probation; and organisations from the voluntary, community and faith sector.

The LSAB QAPI sub group initiated the first audit in January 2017, focussed around Domestic Abuse. The audit has recently concluded and is due to be reported to the LSAB in September. The findings will be shared with partners and referenced in the 2017/18 annual report. The audit schedule for the year ahead includes plans to audit around Timeliness and information sharing; and Making Safeguarding Personal (MSP).

The LSCB QAPI sub group initiated and completed two multi-agency audits during the 2016/17 period: Children in Need of Prevention and Early Help; and Transitions from child to adult services.

A third audit into Child Sexual Exploitation was also initiated in the reporting period, concluding in May 2017. Summary reports can be accessed here:

<http://www.lancshiresafeguarding.org.uk/quality-assurance-and-audit.aspx>

The next audit to be undertaken under this framework is scheduled to begin September 2017, focussed around Non-accidental injuries.

### 3.6 Themes from Child Death Reviews

The Child Death Overview Panel (CDOP) reviews every child death in the county and analyses any factors that may have contributed to the death in order to identify themes and trends for preventative measures. 86% of deaths reviewed during 2015/16 were completed within 12 months.

A summary of the key findings for 2016/17 are as follows:

- 14% of deaths were of children from an Asian Pakistani heritage, compared with the child population of 6% in the 2011 census (this is an increase of 7% from deaths reviewed in 2015/16)
- 60% of children were aged under 1 year (31% 0-27 days and 29% 28 – 264 days)
- 32% of deaths were due to chromosomal, genetic and congenital anomalies and 29% were due to perinatal/ neonatal events.
- 38% of deaths were identified to have modifiable factors\*
- Of the 38% of deaths identified to have modifiable factors the most common category of death was perinatal neonatal events (38%), this was also the case for Pan-Lancashire. The second largest category to have modifiable factors was sudden, unexpected, unexplained deaths (30%).
- The most common modifiable factors were smoking by parent/carer and safer sleep

\*Factors which could be modified to reduce the risk of future child deaths

### 3.7 Safeguarding Adult Reviews (SAR)/Serious Case Reviews (SCR)

During 2016/17, the SAR and SCR Groups have successfully implemented a new methodology for undertaking reviews, using the Welsh Model. The model allows for a more timely and practiced based review, providing focussed and SMART recommendations.

A resource pack was developed to support the implementation of the model, which includes roles and responsibilities of panel members; independent review; independent chair; and business co-ordinator; a learning event briefing; certificates for learning events; and a 7 minute briefing on how the model works. Prospective Chairs are also able to observe a full SAR/SCR prior to undertaking the chairing role, allowing come form of training prior to undertaking a full review.

| 2016/17   | SARs | SCRs |
|---|------|------|
| Number of referrals:                              | 11   | 20   |
| Number converted to reviews:                      | 4    | 3    |
| Number converted to Multi-agency learning reviews | 0    | 1    |
| Number pending decisions                          | 2    | 1    |

The first Safeguarding Adult Review, published to the LSAB [website](#) in June 2017, concluded outside of the reporting year and will be referenced in the 2017/18 annual report. Three cases continue through the review process and will be published, if appropriate, in due course.

One Serious Case Review, Child LA, was published during the reporting year which can be found in full on the LSCB [website](#). Since the end of the reporting year, an additional 4 cases have been published and will be referenced in the annual report for 2017/18.

The review into Child LA, published December 2016, highlighted a number of learning points, including those detailed below:

#### **Child LA Key Learning Points:**

- **Age of the child:** professionals treated LA, in terms of her age, as if she were an adult – a significant issue which impacted on interventions considered and offered. Children are children until aged 18 in law; the Children Act 1989 defines a child as any person under the age of 18 (section 105(1)).
- **Thresholds for Neglect:** LA and the family lived with a number of concerns including mental health issues, suspected substance misuse, self-harm, sexual exploitation, emotional abuse and neglect. The conditions where LA lived during the timeframe were poor. Professionals did visit and record their concerns and at times challenged what they saw; however, there was a sense of acceptance on the behalf of professionals. The independent reviewer discusses the definition of neglect and that the circumstances /environment do not have to get progressively worse for the threshold to be met, it can also be met by the neglect concerns not getting any better, despite professional intervention.
- **Responses to Child Sexual Exploitation:** The report highlights it was positive that LA was identified as being at risk of child sexual exploitation (CSE). Creative disruption techniques in response to concerns were used as child abduction.
- **Responses to children who go missing from home:** LA was formally reported missing seven times during the review period and was found on occasions to be in circumstances where CSE was known or suspected. The return interviews were not robust and were not consistently documented.
- **Engaging parents and carers/disguised compliance:** It was evident that Mother was not consistently difficult to engage, however there were concerns about parenting capacity and ability to support and protect her children. Disengagement, resistance and disguised compliance should be included as a key area of concern when assessing risk to a child, and therefore be included in supervision discussions about decisions and risk analysis.

The full overview report and practitioner learning brief for Child LA can be accessed on the LSCB website.

The LSCB also published practitioner learning briefs for two SCRs in January 2017, however overview reports were delayed in publication due to ongoing parallel proceedings. The reviews into Child LB and LD highlighted key learning around:

### Child LB Key Learning Points:

- **Voice of the child:** was not heard by agencies. Children should be given opportunities to have their voices heard in a safe environment as soon as possible.
- **Inter-Agency Working through Early Help:** Professionals should always provide parents/carers opportunities to consider a CAF and attempt to gain parental consent to instigate a CAF. Prior to discharging/closing a referral, the referrer should be notified to enable appropriate multi-agency discussion and challenge.
- **Engagement with resistant or uncooperative families:** Resistance and non-engagement should be included as a key area of concern when assessing risk to a child and therefore be included in supervision discussions;
- **Professional curiosity relating to minor injuries:** Being professionally inquisitive is crucial to ascertain whether explanations of injuries (however minor) are plausible. It is also important for professionals to view minor injuries collectively with other information about a child which together could give cause for greater concern.
- **Decision making in referrals and escalation processes:** All assessments should include multi-agency clarification of concerns, the voice of the child and consideration of a strategy discussion with clear decisions documented within records. All professionals should be familiar with the LSCBs escalation policy: Resolving Professional Disagreements Guidance and have the confidence to use it.

### *Good practice was highlighted as part of this review:*

- Providing Child LB with the same consistent counsellor enabled them to build trust and a rapport which eventually led to the disclosure;
- School Nurse was tenacious in pursuing opportunities and strategies, including with other professionals, to try to enable the child to be seen in a safe environment;
- Both schools involved worked hard in their recording of concerns and incidents involving LB, and tried continuously to engage the carers, encouraging some communication under challenging circumstances.

### Child LD Key Learning points:

- **Hostile, Aggressive and Resistant Parents:** was frequently witnessed and the family evaded professional support and interventions. This made it difficult to form a clear picture of the child's needs due to the child being inaccessible. Professionals should be supported in respectfully challenging non-cooperative families.
- **Historic Sexual Abuse and Inappropriate Sexualised Behaviour:** Relevant information sharing to inform risk assessments is essential to support the protection of children at risk or experiencing sexual abuse including familial risk indicators.
- **Safeguarding Children and Duty of Care to Adults;** Professional's duty of care to adults should not obscure their responsibility to safeguard children.
- **Neglect:** the review found the daily lived experience of Child LD was highly likely to have been neglectful and abusive.

Practitioner learning briefs for LB and LD can be viewed in full on the LSCB website.

### **Multi-agency Learning Review (MALR)**

One MALR was completed during the reporting year, exploring issues raised within children's homes. Learning from the MALR is shared via a learning brief on the LSCB website, and is generating debate with the DfE with regard to Children's Homes regulations. Further detail and progress will be reported in 2017/18.

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## 4. Statutory and Legislative Context

### 4.1 Lancashire Safeguarding Adults Board

Section 43 of the Care Act 2015 sets out the statutory objectives and functions of an LSAB as follows:

- 1) Each local authority must establish a Safeguarding Adults Board (an “SAB”) for its area.
- 2) The objective of an SAB is to help and protect adults in its area in cases of the kind described in section 42(1).
- 3) The way in which an SAB must seek to achieve its objective is by co-ordinating and ensuring the effectiveness of what each of its members does.
- 4) An SAB may do anything which appears to it to be necessary or desirable for the purpose of achieving its objective.
- 5) [Schedule 2](#) (which includes provision about the membership, funding and other resources, strategy and annual report of an SAB) has effect.
- 6) Where two or more local authorities exercise their respective duties under subsection (1) by establishing an SAB for their combined area
  - a) a reference in this section, section 44 or Schedule 2 to the authority establishing the SAB is to be read as a reference to the authorities establishing it, and
  - b) a reference in this section, that section or that Schedule to the SAB’s area is to be read as a reference to the combined area.

The LSAB must promote a culture with its members, partners and the local community that recognises the values and principles contained in 'Making Safeguarding Personal' and ensure all work is underpinned by the six key safeguarding principles:

- Empowerment – taking a person-centred approach, whereby users feel involved and informed.
- Protection – delivering support to victims to allow them to take action.
- Prevention – responding quickly to suspected cases.
- Proportionality – ensuring outcomes are appropriate for the individual.
- Partnership – information is shared appropriately and the individual is involved.
- Accountability – all agencies have a clear role.

### 4.2 Lancashire Safeguarding Children Board

Section 14 of the Children Act 2004 and Working Together to Safeguard Children 2015 sets out the statutory objectives and functions for an LSCB as follows:

- a) To coordinate what is done by each person or body represented on the Board for the purposes of safeguarding and promoting the welfare of children in the area; and
- b) To ensure the effectiveness of what is done by each such person or body for those purposes.

Regulation 5 of the Local Safeguarding Children Boards Regulations 2006 sets out that the functions of the LSCB, in relation to the above objectives under section 14 of the Children Act 2004, are as follows:

- 1a. developing policies and procedures for safeguarding and promoting the welfare of children in the area of the authority, including policies and procedures in relation to:
  - i. the action to be taken where there are concerns about a child's safety or welfare, including thresholds for intervention;
  - ii. training of persons who work with children or in services affecting the safety and welfare of children;
  - iii. recruitment and supervision of persons who work with children;
  - iv. investigation of allegations concerning persons who work with children;
  - v. safety and welfare of children who are privately fostered;
  - vi. cooperation with neighbouring children's services authorities and their Board partners;
- 1b. communicating to persons and bodies in the area of the authority the need to safeguard and promote the welfare of children, raising their awareness of how this can best be done and encouraging them to do so;
- 1c. monitoring and evaluating the effectiveness of what is done by the authority and their Board partners individually and collectively to safeguard and promote the welfare of children and advising them on ways to improve;
- 1d. participating in the planning of services for children in the area of the authority; and
- 1e. Undertaking reviews of serious cases and advising the authority and their Board partners on lessons to be learned.

Regulation 5 (2) which relates to the LSCB Serious Case Reviews function and regulation 6 which relates to the LSCB Child Death functions are covered in chapter 4 of the guidance.

Regulation 5 (3) provides that an LSCB may also engage in any other activity that facilitates, or is conducive to, the achievement of its objectives.

2. In order to fulfil its statutory function under regulation 5 an LSCB should use data and, as a minimum, should:
  - assess the effectiveness of the help being provided to children and families, including early help;
  - assess whether LSCB partners are fulfilling their statutory obligations set out in chapter 2 of this guidance;
  - quality assure practice, including through joint audits of case files involving practitioners and identifying lessons to be learned; and
  - monitor and evaluate the effectiveness of training, including multi-agency training, to safeguard and promote the welfare of children



### 4.3 Wood Review

In December 2015, the Department for Education (DfE) asked Alan Wood to lead a review of the role and functions of Local Safeguarding Children Boards (LSCBs) in England within the context of local strategic multi-agency working. As part of the review he also looked at Serious Case Reviews (SCRs) and Child Death Overview Panels (CDOP) and Serious Case Reviews of the government has accepted several of the recommendations and will introduce changes over the next two years. The Children and Social Work Act 2017 has received royal assent and introduces a number of significant changes for LSCBs. These include:

- The LSCBs to be replaced by a local safeguarding partnership whose remit will be agreed between police, LA and Health (CCGs)
- Serious Case Reviews to be commissioned nationally with local learning reviews for less serious cases

The functions of the Child death Overview Panel to be transferred into health (or may be Public Health)

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## 5. Governance and accountability arrangements

### 5.1 Relationship between the LSAB/LSCB

In 2015/16 we reported that developments were being made to align the work and support arrangements of the two Boards, following the introduction of statutory obligations for LSABs.

An increase in financial contributions from partner agencies was agreed, and a joint Business Unit established to work across both Boards. The Business Unit is now operating at full capacity and making good progress. Where possible, the Business Unit and Board members aspire to implement joint initiatives and methods across both Boards to ensure consistency and improved joint working around the Safeguarding agenda.

A Development Day took place in March 2017, bringing members of the LSAB and LSCB together for the first time. The day was well received by members, looking at the history of the two Boards and how they have developed; sharing the key functions and roles of all sub groups; and identifying some key priorities for the future. The following key decisions were made:

- Adoption of a general principal of only doing things once!
- Disestablishment of the LSCB Executive Group – it was agreed the LSCB Executive was potentially inefficient and presents risks of undermining the accountability of the full Board, however was a useful forum for management of financial issues and decisions. It was therefore suggested that the group be disestablished and replaced with quarterly budget meetings to address financial issues, and quarterly sub-group chairs meetings to manage the business plans. This was agreed and the LSCB Executive met for the final time in May 2017;
- Communication and Engagement – it was agreed that communication and engagement is a key function requiring further development. The establishment of a Joint Communication and Engagement Sub Group was agreed which should be made up of professionals in Safeguarding and supported by skilled media/communications officers. The group has been established since the end of the reporting period, first meeting in June 2017;
- Pan-Lancs collaboration should be maximised where possible – many agencies work across borders, therefore aligned policies and procedures should be considered;
- Common approaches to Case Reviews, Audits and training should be adopted wherever possible.

Some joint initiatives in place:

- Independent Chair is the same for both Boards;
- Safeguarding Adults Reviews and Serious Case Reviews use the same methodology based on the Welsh model;
- Multi-agency Audit tool has been implemented using the same processes for both Children's and Adults audits;
- Joint meetings of the LSAB and LSCB pan-Lancs Chairs and Business Managers (Lancashire, Blackpool, Blackburn with Darwen; and Cumbria);
- Joint Communication and Engagement Sub Group (est. June 2017)

- Joint meeting of the LSAB/LSCB scheduled for September 2017 to address issues common to both Boards.
- Joint Annual report 2016/17.

## **5.2 Board Structure**

The Board structure can be found on the next page, illustrating the governance between the Boards, its sub groups, and links with other partnerships.

The Boards have recently established three additional sub groups which will be developed over the coming year and included in the 2017/18 annual report:

- Joint Communications and Engagement Sub Group
- LSCB Policies and Procedures Sub Group
- LSAB Policies and Procedures Sub Group

Partnerships in Lancashire such as the LSAB/LSCB, Children and Young People's Trust, Health and Well Being Board and Community Safety Partnership all produce detailed strategic plans setting out the key outcomes to be achieved within a 3 year timescale. These plans are based on a detailed analysis of the needs, the aspirations of the Lancashire residents and the resources available to organisations to meet these needs and aspirations. Arrangements in place to share this annual report with these key strategic groups and join up the business planning processes so priorities can be shared and reflected accordingly.

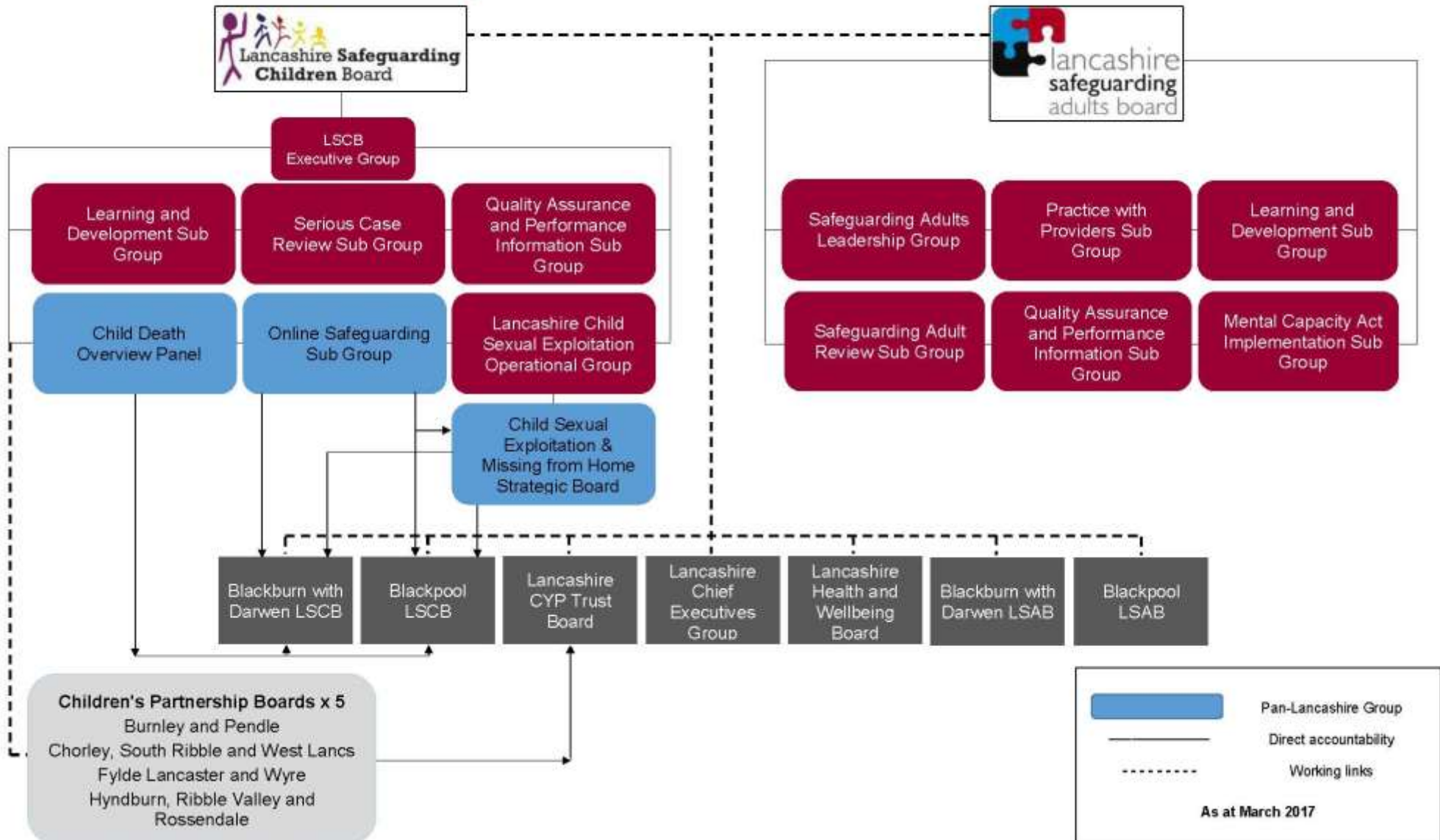
In 2014/15 the Local Safeguarding Groups were merged with the District Children's Trusts which resulted in 5 Children's Partnership Boards (CPBs) which bring partners together locally under the wider children's agenda. The CPBs are not formal sub groups of the Board but working links are in place to allow the LSCB to hold the groups to account for coordination of effective safeguarding, ensuring it is embedded in priorities and plans. The four Business Co-ordinators attend CPB meetings on a regular basis, providing the safeguarding link.

The CPBs continued to progress in 2016/17, with another year of funding agreed for 2017/18. A review of Children and Young People's Trust arrangements is to take place in the coming year, which the CPBs will be consulted on.



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## 5.3 Accountability and inspection

Despite having statutory functions, the LSAB does not undergo the same scrutiny processes as the LSCB. However it should be noted that agencies represented on the LSAB are often inspected in terms of quality and compliance around issues of safeguarding.

The LSCB is reviewed as part of the local authority inspection of services for children in need of help and protection, children looked after and care leavers, carried out by Ofsted. The last inspection took place in 2015 and the LSCB was judged to be 'good' following a separate assessment and judgement of its effectiveness.

The independent chair is the same for both Boards and is held to account by the Chief Executive of the Local Authority through regular meetings and Board member participation in a process of standardised appraisal.

## 5.4 Business Planning and Strategic Priorities

### 5.4.1 LSAB Business Plan

The LSAB developed its first Business Plan based on priorities agreed at the LSAB Development Day in September 2016. The plan incorporates the actions required to ensure the Board itself is efficient and effective in fulfilling its statutory responsibilities. Key priorities for 2016-18 were set based on the 15 Care Act Responsibilities under 6 Key Safeguarding Principles: Empowerment; Prevention; Proportionality; Protection; Partnership; and Accountability.

The information below details the priorities given initial precedence with completion deadlines during the April 2016 – March 2017 period:

#### Empowerment

- *Care Act No. 9 – Develop strategies to deal with the impact of issues of race, ethnicity, religion, gender and gender orientation, sexual orientation, age, disadvantage and disability on abuse and neglect.*

**Progress update:** Links have been established with the LeDeR Programme (Learning Disabilities Mortality Review) with regard to vulnerable adults. Representatives from the programme attended and presented to the LSAB in November 2016 and the Practice with Provider Sub Group February 2017.

The MCA and DoLS Sub Group has worked extremely hard to develop and implement robust policies and procedures are in place to protect those who lack mental capacity. The detail of this work is shared at the end of this section and via the Sub Group update (section 6.4).

The newly established Communication and Engagement will consider issues of diversity throughout all activity undertaken to deliver work plans and strategies.

## Prevention

- *Care Act No. 2 - Establish ways of analysing and interrogating data on safeguarding notifications that increase the SAB's understanding of prevalence of abuse and neglect locally that builds up a picture over time*

**Progress update:** The QAPI Sub Group is well established with appropriately skilled members. The group has developed and implemented a data and performance framework and reporting mechanisms, scrutinising all data and findings before presenting highlight reports to Board on a bi-monthly basis.

The group has also agreed and implemented an effective multi-agency audit programme with a team of multi-agency auditors in place who initiated the first multi-agency audit in early 2017.

- *Care Act No. 5 - Establish mechanisms for developing policies and strategies for protecting adults which should be formulated, not only in collaboration and consultation with all relevant agencies but also take account of the views of adults who have needs for care and support, their families, advocates and carer representatives*

**Progress Update:** Following discussions at the LSAB/LSCB Development Day in March 2017, it was agreed to establish a Policies and Procedures Group for the purpose of developing and reviewing policies and procedures on behalf of the LSAB. This group is currently in development, along with a new approach to developing Pan-Lancashire procedures.

It is the expectation of the Policies and Procedures; and the Communication and Engagement Sub Groups, to make effective links in order to successfully engage relevant stakeholders and service users throughout development and dissemination of information and guidance.

- *Care Act No. 6 - Develop preventative strategies that aim to reduce instances of abuse and neglect in its area*

**Progress Update:** The Communication and Engagement Sub Group is working to put in place an effective strategy for communication/engagement which includes an objective to raise awareness of abuse and neglect throughout agencies, service users and members of the public, in order to assist the recognition of the signs and in turn help prevent abuse from happening.

Learning from SARs are highlighted to practitioners via concise Learning Briefs, and further supported via the development and wide distribution of 7 Minute Briefings.

- *Care Act No. 7 - Identify types of circumstances giving grounds for concern and when they should be considered as a referral to the local authority as an enquiry*

**Progress update:** A comprehensive guidance tool was developed during 2016/17 to assist practitioners in making appropriate referrals in response to safeguarding concerns.

The guidance is for Providers and Practitioners alike as key partners in safeguarding adults with care and support needs. It is intended to assist in the management of risk and making appropriate decisions around the level of support and response required to suspected or recognised abuse.

The Guidance was agreed and launched in March 2017 and continues to be successfully embedded across agencies and services. The guidance is supported by three appendices:



- Appendix 1: Safeguarding Concerns Checklist for recording and evidencing information;
- Appendix 2: Information and guidance on when to consider making a safeguarding alert following a fall; and
- Appendix 3: Information and guidance on when to consider making a safeguarding alert for medication errors.

A fourth appendices is about to be launched to provide advice and guidance in relation to service user to service user incidents. The full 'Guidance for Safeguarding Concerns' package can be accessed on the [LSAB website](#).

- *Care Act No. 12 - Carry out safeguarding adult reviews*

**Progress update:** The SAR Sub Group has worked hard over the past year to develop and implement processes for timely reviews. Due to the successful implementation of the Welsh model for SCRs, it was agreed the processes and templates would be adapted and developed to suit SARs. Training events were held for potential reviewers; authors; and Chairs in September 2016. The first SAR was initiated in June 2016 and published June 2017. Five cases continue to progress through the review process.

## Proportionality

- *Care Act No. 10 - Balance the requirements of confidentiality with the consideration that, to protect adults, it may be necessary to share information on a 'need-to-know basis'*

**Progress Update:** Members of the LSAB are engaged in the MASH review process and are represented on Strategic Board, fully sighted on roles and responsibilities, and the development of information sharing agreements. Detail of the MASH progress is detailed at section 3.3.3.

All sub groups are working to embed the principles of Making Safeguarding Personal (MSP), and the QAPI Sub Group has scheduled a multi-agency audit around MSP later this year.

## Protection

- *Care Act No. 15 - Promote multi-agency training and consider any specialist training that may be required. Consider any scope jointly to commission some training with other partnerships, such as the Community Safety Partnership*

**Progress Update:** The training provision for the LSAB has made developments during 2016/17, with further work still to be done. During the reporting year number of single and multi-agency training sessions and conferences have been delivered, including topics such as: managing modern safeguarding challenges; MCA/DoLS; safeguarding and care homes; Self-Neglect; and modern slavery.

The LSCB 7 Minute Briefing processes has been replicated by the LSAB Learning and Development Sub Group, with briefings developed and distributed on topics such as: Advocacy; Emollients and Smoking; Honour Based Violence; information Sharing; MCA DoLS; Oral Health; Prevent; and the Safe Use of Agency Staff. Eight topics have been proposed and agreed for development during 2017/18.

The LSAB website has a dedicated area for [Learning and Development](#), which will be further developed over the next year in line with progress made by the sub group.

An options paper was presented to the LSAB in April 2017 to propose three options for the future direction of Learning and Development. This is currently under review but initial discussions revealed the preferred option is to adopt and develop a multi-agency training pool. This is being further explored and will be reported on in 2017/18.

## Partnership

- *Care Act No. 14 - Evidence how SAB members have challenged one another and held other boards to account*

**Progress Update:** a number of mechanisms have been successfully implemented in terms of quality and performance, audits and SARs during the reporting year, creating effective routes for constructive challenge amongst agencies.

The LSAB QAPI sub-group are in the process of considering ways in which they can mirror the section 11 process in order to gain assurances that vulnerable adults are appropriately safeguarded.

## Accountability

- *Care Act No. 1 - Identify the role, responsibility, authority and accountability with regard to the action each agency and professional group should take to ensure the protection of adults*

**Progress update:** Membership and structure of the LSAB and its sub groups are regularly reviewed and amended as necessary. All sub groups are well developed with work plans and clear Terms of Reference agreed. Governance arrangements were reviewed and published to the LSAB website in April 2017, setting out the aims, priorities and Terms of Reference of the LSAB; membership and responsibilities of members; and structure and role of sub groups.

In addition to all progress detailed above, it would be remiss not to highlight the progress and success made by the sub group dedicated to the implementation of the Mental Capacity Act and Deprivation of Liberty Safeguards (MCA and DoLS). The group advises the LSAB on processes, procedures and outcomes in relation to the implementation of MCA and DoLS, providing progress updates and assurance that the Act is being embedded in practice of multi-agency partners. A number of objectives have been delivered during the reporting year and are detailed within the 'Sub Group updates' later in this report. Examples of objectives met are as follows:

- **Pan-Lancashire MCA Media Resource and E-Book:** developed in 2015/16, the resource was launched via a conference in April 2016 and shared with the national NHS England MCA Sub Group. The work was shortlisted for a national 'Patient Safety' award and featured as an example of best practice in Baroness Finlay's MCA Forum Chairs annual report.
- **Regional and National collaboration and sharing of best practice:** sharing resource tools across services – including the NHS Deciding Right app which supports care providers in making care decisions in advance for people who may lose capacity or those who have already lost it.



- **Learning and Development:** significant investment in strengthening learning and development opportunities to support agencies in applying the principles of the Act into practice. Examples include:
  - Funding received from NHS England allowed the group to coordinate a number of multiagency training events, commissioning Afta-Thought; a drama based training company who specialise in training delivery using scenarios that are realistic, recognisable and measurable. Sessions were well attended and received positive feedback.
  - Expert speaker 'Neil Allen' Barrister from 39 Essex Chambers and Senior Lecturer at Manchester University was commissioned to provide targeted training on MCA and case law updates for GP's and hospital medics across the pan Lancashire footprint.
  - Roll out of 7 minute briefings around MCA in practice, and Advocacy Focus, the support services available to adults in Lancashire.
  - Practice based learning sessions led by the MCA Coordinator
- **Awareness Raising:** easy read leaflets purchased from Research in Practice for Adults (RIPFA) to raise awareness of MCA with the public.
- **Research project:** pan-Lancashire research commissioned to understand of health and social care provider's experiences of working with the Act. The research is the first of its kind from a local and national perspective and will inform practice with evidence based recommendations.

The work undertaken during 2016/17 has implemented successful mechanisms for achieving the LSAB's requirements of the Care Act. Members of the LSAB and its sub groups will make further developments over the year ahead in order to meet the objectives of our business plan.

#### **5.4.2 LSCB Business Plan**

The Business Plan has been developed by the LSCB and has the support of all the Board's partner agencies. It takes account of and is informed by statutory requirement and the implementation of LSCB processes: QA Framework - Section 11 Audit, Multi-Agency case file audits, Performance Indicators. Themes from SCR are inbuilt into our priorities. The plan incorporates the actions required to ensure the Board itself is efficient and effective in fulfilling its statutory responsibilities.

The key priorities for 2016-18 were agreed at the Board's Development Day on 7th June 2016, as follows:

- *Priority Area 1:* Improve the effectiveness of agencies and the community in preventing Child Sexual Exploitation and addressing other complex safeguarding issues (including female genital mutilation, forced marriage and honour based violence).
- *Priority Area 2:* Improve the effectiveness of agencies in meeting the needs of Children Missing for Home, Care and Education
- *Priority Area 3:* Improve the effectiveness of safeguarding activity for children in specific circumstances:
  - Children placed in Lancashire from other areas, and in other areas from Lancashire
  - Children whose parents are in prison

- Children in need of support for emotional and mental health issues
- Children in need of support with regard to online safety
- *Priority Area 4: Cross cutting themes*
- *Priority Area 5: Ofsted improvement plan*

#### **Priority updates:**

- **Child sexual exploitation/complex safeguarding**

A review of the multi-agency Pan-Lancashire CSE Action Plan (2015-18) was undertaken in October 2016. The review found that significant work has progressed in this area in recent years, and good progress has been made particularly in relation awareness raising across professionals in all sectors. The Leadership and reporting structures are well developed and issues are well understood across the 3 LSCB areas. Partnership working is key and continues to contribute to the success.

The LSCB appointed a Business Co-ordinator in January 2017 with a responsibility to support the CSE and Complex Safeguarding agenda.

As reported last year the LSCB, in partnership the Police and Crime Commissioner, had started working closely with District Councils in order to improve safeguarding policies and practice in relation to private hire cars and taxi drivers. All districts have been engaged in this process, training hundreds of Taxi Drivers and licensing committee members in CSE Awareness, and making completion of training a mandatory condition of licensing applications. Furthermore, and more recently, a 'Taxi Driver Workbook' has been created to further embed key messages around CSE and help educate drivers about their responsibilities in safeguarding children and vulnerable adults and has been made available to the District Councils.

A project was commissioned in the East of the County (Burnley and Pendle) to improve engagement with BME Communities, and explore perceptions of such communities around issues of CSE. The project was carried out in two Phases, with Phase 1 conducting an initial needs assessment which demonstrated the need for focussed engagement work to increase empathy towards victims and eradicate misconceptions surrounding CSE. Two voluntary sector organisations led on Phase 2 of the project holding a number of workshops within the communities in order to educate participants on CSE. Participants were required to complete a questionnaire before and after the workshops in order to measure any changes in views/understanding. Although the project successfully engaged with communities, the overall findings uncovered some negative changes in the perceptions towards victims of CSE, following participation in the workshops. These findings are of concern to the LSCB and the pan-Lancashire CSE Strategic Board, and will be considered as part of delivery against priorities for the year ahead.

The Lancashire CSE Operational Group was established in April 2016, reporting directly to the LSCB and pan-Lancashire CSE Strategic Board. Detail of progress made during 2016/17 can be found later in this report as part of the sub-group updates.

In March 2017, the Boards contributed to and supported a Modern Slavery and Human Trafficking Conference, along with Blackpool Safeguarding Boards and Blackpool Teaching Hospitals. The conference was extremely popular, providing training to over 300 practitioners around: understanding and awareness of Modern Slavery and Human Trafficking; recognising the signs and knowing how to respond; roles and responsibilities; and support services available.

Presentations were given around prevalence and complexities (nationally and internationally); key legislation; responsibilities and processes; Child Trafficking, including the experiences of victim's; an overview of East Lancashire's Modern Slavery Unit; and information and outcomes of Operations to have taken place across the country.

Since the conference, there has been an increase in referrals, intelligence and arrests for modern slavery. There is increased awareness and consideration of key issues amongst practitioners and improved multi-agency working, however there is still much work to be done. Developments will now be made around modern slavery to make improvements in training; multi-agency processes; intelligence; and victim support services.

- **Children missing for home, care and education**

The pan-Lancashire CSE/MFH Strategic Board reviewed the Strategy and Action Plan for children missing from home, and agreed the refreshed document in August 2016, pending any changes made as a result of the recommendations of the All Party Parliamentary Group on this subject.

The National College of Policing released guidance in anticipation of likely revision of government guidance in January 2017, advising the removal of the 'absent' category. Lancashire Constabulary are developing systems to remove the category and replace it with 'missing – with no apparent risk'. Whilst the constabulary can move forward in preparation, the DfE are yet to release guidance for local authorities – the LSCB has made contact with the DfE to seek advice regarding the timescale of this but no update has been provided to date. Once DfE guidance is released, the Pan-Lancs Strategy for children missing from home will undergo further review to take changes into account.

Data collection for those missing from home, care and education has been improved in the 2016/17 period, with stronger links made with the children missing from education team within the local authority.

- **Children placed in Lancashire from other areas, and in other areas from Lancashire**

In last year's annual report it was noted that a themed audit had been undertaken around children looked after who are placed outside the local authority. The draft findings report was received by the LSCB QAPI sub group, however due to a low response rate, and various restructures/changes in staffing it was difficult to unpick the details initially reported. It was therefore agreed that the audit would be revisited via a focus group approach to test the current processes in place.

Links between the LSCB and the Corporate Parenting Board remain strong, with annual reports of each Board being presented to one another. In November 2016, a member of LINX (Children in

Care Council) attended a meeting of the LSCB to present key updates on behalf of the Corporate Parenting Board. This is detailed a little later in this report, as part of 'Views of Service Users'

- **Children whose parents are in prison**

As reported in last year's annual report, the LSCB recognises that children with a parent in prison are at risk of experiencing poor outcomes comparable with those of looked after children. This cohort of children was made a priority of the Board following a number of awareness raising events held in 2015/16 in partnership with the CYP Trust Board and charity iHop.

Work has been undertaken during 2016/17 to address this priority and has resulted in the establishment of a multi-agency task group to consider how we identify such children and to develop a pathway to ensure an appropriate offer of support is made, regardless of the route of identification. Whilst there is still some work to be done, headway has been made with a draft pathway almost complete; existing support mechanisms identified with potential to tap in to; and multi-agency engagement from Probation; Children's Social Care; Community Rehabilitation Company; Schools; Further Education; Prison Service; Lancashire Constabulary; and the Prison Advice and Care Trust (PACT). The work of the task group continues into 2017/18 with an aspiration to launch the pathway during Children's Grief awareness week in November 2017.

- **Children in need of support for emotional and mental health issues**

Last year, the LSCB expressed concerns around the pace of progress surrounding the re-design of CAMHS services and the quality and equity of access to timely support. A report was presented to the Health and Well-being Committee who agreed priority action was required.

During 2016/17 the Board has received regular updates from the Transformation Board with regard to the service redesign and specific workstreams within the project. This has provided insightful updates in terms of progression and identified mechanisms for feedback to and from the LSCB. The LSCB is now represented on the Care of the Most Vulnerable Working Group.

However concerns have continued to be raised and it is clear that children in Lancashire are still not able to access a service which meets the recommended standard. The Board has received reports showing unacceptable timescale for access to services and examples of very unwell children being held in a general hospital setting because no specialist CAMHS placement could be found. The Board has received Serious Case Review referrals following child suicides and data shows Lancashire has high levels of hospital admission as a result of self-harm.

While a transformation programme is in place, and some significant improvements can be evidenced, the Board remains concerned that what is being delivered is too little and too late.

Additional areas of focus:

• Ofsted improvement – LSCB contribution

Following the 2015 Ofsted inspection of services for children in need of help and protection, children looked after and care leavers; and a review of the effectiveness of the LSCB, a multi-agency Improvement Board was established by the local authority, which the LSCB Independent Chair attends. The LSCB were tasked with progressing a number of recommendations as part of the improvement journey, which were built into the LSCB Business Plan. All actions are marked as complete and are found below with progress updates:

| Recommendation   | Actions taken  |
|--|--|
| 1. Ensure that the learning from audit activity is shared and acted upon across partner organisations through the LSCB. Robust feedback mechanisms/processes are in place.   | Audit programme agreed and a virtual audit team identified and completing training in July 2016. Formal audit programme commenced in September 2016. Section 47 Audit completed in June 2016. Feedback and learning will be embedded in L&D programmes and 7 minute briefings as appropriate. Audit summary reports can be accessed via the <a href="#">LSCB website</a> . LSCB newsletter will be launched during 2017/18 and will act as an additional mechanism for sharing learning. |
| 2. Ensure that audit activity undertaken by partner organisations is shared and understood   | QAPI sub-group now requests all agencies to provide summary of any audit or inspection activity which identifies safeguarding concerns and considers implications and proposed actions; system is agreed for learning to be passed to L&D sub-group for inclusion in L&D activity.   |
| 3. LSCB to ensure Working Together compliance of multi-agency strategy discussions   | Section 47 audit completed and initial findings reported to the Improvement Board. Further work is to be completed and final recommendations from LSCB to Police and CSC from QAPI Group to be monitored. Some follow up underway.   |
| 4. Review and update or re-affirm policy, procedures and practice standards around honour based violence, forced marriage and female genital mutilation and other complex safeguarding risks such as CSE, human trafficking, modern slavery and radicalisation | Review completed May 2016 and outcome reported to Improvement Board.   |
| 5. Update Threshold Document and the Continuum of Need   | Refresh completed and reported in June 2016. Roll out briefings were delivered across county on 11-13 July 2016 and <a href="#">7 minute briefing</a> published October 2016.  |
| 6. Re-affirm and re-brief to all staff to ensure that in cases involving CSE and complex safeguarding issues children and young people are considered as victims of abuse when the threshold is met  | Continuum of need updated to reflect appropriate response to children where there are concerns about CSE and other complex safeguarding issues.  |
| 7. Use 7 minute briefing system to raise practitioner awareness and provide specialist information regarding a range of complex  | 7 Minute Briefings are circulated widely by the LSCB on a monthly basis. All briefings are available on the <a href="#">LSCB website</a> .   |

| Recommendation  | Actions taken  |
|---|--|
| safeguarding concerns in annual training needs analysis   |  |
| 8. Include the scoping of training requirements regarding range of complex safeguarding concerns in annual training needs analysis                | Built into routine review  |
| 9. Ensure appropriate single training is provided to relevant staff   | 10 briefing sessions were held across the county to brief staff on changes to the CON and Thresholds. Findings from audits are fed back to L&D Sub Group to inform training packages.  |
| 10. Provide up to date information for individual agency activity and referral data in relation to female genital mutilation on a quarterly basis | Information now to be provided via NHS England. Further work to ensure data quality to be completed via the FGM task & finish group, associated with the CSE/MFH sub-group. FGM Group to be mad aware and to request that a flag is added to the CSC system to enable accurate reporting |

In addition to the above, the LSCB also developed a Risk Sensible Framework for multi-agency partners in order to support the roll out of Risk Sensible practice within Children's Social Care. The Framework was developed during 2016/17 and formally launched July 2017. As the Improvement plan is updated the LSCB continues to commit as lead on relevant aspects.

- Children in Custody:

The LSCB receives a statutory annual report from Lancashire Youth Offending Team each year. The 2016/17 report can be found at appendix 2.

Following the release of NSPCC and the Association of Independent LSCB Chairs guidance into Child Protection and Safeguarding in Young Offender Institutions, Secure Training Centres and Secure Children's Homes, Lancashire Youth Offending Team were tasked with completing a self-assessment audit tool to review current practices within the local area. The findings of the audit were reported to the LSCB in July 2016. The overall findings were positive, and some recommendations made to the LSCB:

- *LSCB ensure their child protection procedure require that all incidents of strip-searching in custodial establishments are investigated by the local authority under Section 47 if the Children Act 1989, and they monitor compliance with such policy.*

Members of the LSCB held discussions around this issue and agreed that YOT would ensure the issue of strip searching is added to the YOT Practice Guidance for YOI Review meetings to ensure that the YOT are asking young people whether there have been any incidents of strip searching whilst conducting vulnerability checks.

- *LSCBs champion the rights of children in custody locally and nationally*

The LSCB routinely requests reports around children in custody and picks up issues as appropriate. The Independent Chair wrote to the Leeds Safeguarding Board to raise concerns around the Young Offenders Institute in Wetherby.

- Schools Safeguarding

Engaging effectively with schools across the county is a challenge for the LSCB. Schools are represented on the Board, as are school governors. The Chair and Business Manager meet regularly with the local authority Schools' Safeguarding Officer to share information and updates, and make links with the Headteacher forums: Primary Heads in Lancashire, and the Lancashire Association of Secondary School Headteachers.

The Board's Online Safeguarding Officer, however, has very strong links with schools and continues to provide training and support, via face-to-face sessions and online resources.

The Secondary School representative stepped down from the Board in March 2017 – a suitable replacement is currently being sought.

- REACH (Routine enquiry into childhood adversity)

The LSCB allocated provisional funding in 2015/16 to support a project looking at improving support and engagement with young people who go missing from home or care using this approach. . However, this project was brought to a close in early 2017 when professional capacity to manage the project could not be found.. The LSCB remains committed to exploring new ways of working which embed our understanding of the impact of adverse childhood experiences (ACE), for example, through the Pan Lancashire Child Death Overview Panel (CDOP) with a thematic audit, recommendations from Serious Case Reviews and learning emerging from national research which can be shared with LSCB partners.

- Intra-familial sexual abuse

In 2016 The Children's Commissioner published an analysis re the prevalence of intra-familial sexual abuse, raising concerns about likely significant under-identification and therefore lack of support for child victims. A task and finish group is currently in progress to look at Lancashire data against both the Children's Commissioners figures and estimate the likely cohort of such children in Lancashire. The aims of the group are to review Lancashire's recording of sexual abuse and intra-familial sexual abuse and compare this data against the national picture. Following this review the group will report to the Board on findings and make recommendations for practice.

## 5.5 Views of service users

Over the past few years, the LSCB had developed some effective arrangements for involving children and young people in various aspects of its work and seeking their views as appropriate. The following activity has taken place within 2016/17:

- a) 'Takeover' – national 'Takeover Day' takes place in November, and each year Lancashire aspires to increase engagement by extending the initiative to take place over the entire month. The LSCB has engaged in the process for a number of years, and in November 2016, the following took place:
  - A young person co-chaired the LSCB meeting which proved a rewarding and useful experience and challenged LSCB members to ensure dialogue is meaningful and accessible to young people



- A young person 'took over' part of the CSE Operational Group meeting in November, acting as the Chair for the second half of the meeting and delivering a number of agenda items to share the views of children and young people in relation to CSE. This activity prompted positive discussions and gave the opportunity to gain a young person's perspective in the approach to tackling CSE.
- b) Corporate Parenting Board – a representative from LINX (Children in Care Council) attended the LSCB meeting in January 2017 to deliver an update on behalf of the Corporate Parenting Board. As part of the discussions, the young person advised of the proposal made to district councils to exempt all care leavers from paying Council Tax prior to 25 years of age – a proposal which had been accepted by the county council who are in negotiation with the District Councils
- c) Young Inspectors – a group of young people 'Lancashire CSI' assist agencies in making improvements in service by carrying out their own inspections and making recommendations. The group feedback to the LSCB via the QAPI Sub Group.

During the reporting year, the young inspectors have carried out inspections of the following:

- Youthzone Facebook April 2016;
- CANW re-visit in May 2016;
- LSCB CSE survey and work November 2017;
- Police CSE Inspection January 2017.

Last year, the Young Inspectors created a summary of the LSCB Annual Report and will be asked to do the same again this year.

- d) CSE Awareness Week – Engagement of young people in a CSE conference which informed a parallel event for adults and influenced the CSE Strategy.
- e) Young Person's Safety Toolkit – last year we reported that a group of young people were helping with the design of a toolkit to assist professionals in having conversations with young people about issues of risk and safety, whilst also giving messages to young people about what constitutes risky activities and situations as well as what might be safer. The development of the toolkit continued in 2016/17 and was launched in February 2017:  
<http://www.lancshiresafeguarding.org.uk/media/31316/Young-Peoples-Safety-Toolkit.pdf>
- f) Annual report – following the publication of the 2015/16 annual report, a group of young people developed a one sided summary of the issues they felt were most relevant to them. The summary can be found here: <http://www.lancshiresafeguarding.org.uk/media/26115/Annual-report-Young-Peoples-summary.pdf> . We will again be asking young people to look at creating a version of this year's annual report which is more engaging for children and young people.

Collecting the views of Adults as service users is a new challenge for the LSAB. During 2016/17 we have engaged with a group of service users to develop an Easy Read Guide: 'What is safeguarding and how to report your concerns', which aims to help vulnerable adults understand what 'safeguarding' is; what 'abuse' is; the different types of abuse, and what to do if they are worried



or concerned. This was developed in partnership with the Learning and Disability Partnership Board, and is currently awaiting final sign off.

In 2016/17 the LSCB recruited two new Lay Members. A similar approach is currently being explored for the LSAB.

As part of the SAR/SCR process the LSAB/LSCB routinely consults and seeks the views of family members in relation to the review and ensures their views are appropriately reflected.

The newly established Communication and Engagement Sub Group will address service user engagement as part of their strategy and work plan over the next year, looking to develop more effective methods.

## 5.6 Board Performance

The Boards also have performance indicators which relate to its own effectiveness, with the year-end returns as follows:

| Indicator                                  | 2014/15       | 2015/16       | 2016/17 | Target | Direction of Travel (at Q4) |
|--|---------------|---------------|---------|--------|-----------------------------|
| Attendance at LSAB Meetings*               | Not available | Not available | 76%     | 80%    |                             |
| Attendance at LSCB Meetings*               | 69%           | 67%           | 68%     | 80%    | Better                      |
| SCRs referrals considered within timescale | 100%          | 100%          | 100%    | 100%   | Same                        |
| Number of cases reviewed by CDOP           | 84            | 86            | 68**    | N/A    | N/A                         |

\*A full breakdown of attendance by agency can be viewed at appendix 3. Where agency representation is poor, this addressed by the Chair.

\*\* The number of cases reviewed by CDOP is lower than normal due to the implementation of the database. The number of cases reviewed still remains higher than the national average. Further details can be found in the CDOP annual report.

A risk register is in place for each Board to ensure the appropriate controls are in place to mitigate against key risks to the delivery of Board business and the effectiveness of the partnership.

## 6. Key Achievements from the Sub Groups

The work of the Boards is delivered through a range of themed sub-groups as illustrated in the structures above. Each sub-group has its own work plan which are drawn from the Business Plans and in turn based around the Boards' strategic priorities. The work plans have been reviewed for the year and key achievements are as follows:

### 6.1 Safeguarding Adult Review and Serious Case Review Groups

Role – To consider referrals for SARs and SCRs against the criteria, commission reviews and monitor implementation of single and multi-agency learning from case reviews.

#### SAR/SCR Activity 2016/17

| <b>2016/17</b>                                    | <b>SARs</b> | <b>SCRs</b> |
|---|-------------|-------------|
| Number of referrals:                              | 11          | 20          |
| Number converted to reviews:                      | 4           | 3           |
| Number converted to Multi-agency learning reviews | 0           | 1           |
| Number pending decisions                          | 2           | 1           |

#### Key Achievements 2016/17

The SAR and SCR Groups have successfully implemented the Welsh methodology for undertaking SAR/SCRs and they continue to embed this into practice, raise awareness with practitioners and learn from reviews undertaken on behalf of the Board.

The first SAR has been completed and was presented to the LSAB in April 2017. Three SCRs were commissioned in the reporting year, undertaking an additional 7 throughout the year which were commissioned during 2015/16.

A resource pack has also been developed which includes roles and responsibilities of panel members/ Independent Reviewer/ Independent Chair and Business Coordinator, learning event briefing, certificate for learning event, and a 7 minute briefing on the Welsh methodology. A system has also been set up to enable prospective chairs to observe a full SAR/SCR prior to undertaking the chairing role, this provides an opportunity for new chairs to receive some form of training prior to undertaking a full review.

Furthermore, a tendering process and contract has been developed and utilised for the 2 most recently commissioned SCRs, and 3 SARs. This process will be used for any future reviews commissioned.

#### Priorities for 2016/17

##### *SAR Group:*

- Contribute to the Welsh Model Evaluation being undertaken by an independent reviewer,
- As the SAR Group gains experience and learns from reviews undertaken they will look to tailor the Welsh Model (where appropriate) so it is specific to the adults agenda,

- Develop a robust method for implementing and monitoring multi-agency actions plans as a result of SAR recommendations, being mindful of evidencing impact and outcome,
- Develop effective methods of disseminating learning to partner agencies and frontline practitioners,
- Develop communication with other sub-groups of the Board to improve dissemination of lessons and reduce duplication,
- Review the Terms of Reference (TOR) and ensure the membership is made up of appropriate agency representatives (including seniority),
- Continue to promote the SAR panel, its role and referral pathways with LSAB partners

#### *SCR Group:*

- Undertake an independent evaluation of the Welsh Methodology;
- Improve dissemination of learning to the multi-agency workforce;
- Improve evidence impact and outcomes from action plans;
- Develop a retention policy and formulate a member agreement;
- When the first 6 SCRs are completed using the Welsh method, Review Group should consider the need for a thematic audit and if agreed plan this as a separate piece of work.

### **6.2 Learning & Development Sub Groups (LSAB and LSCB)**

Role – The principal purpose of LSAB and LSCB learning & development sub-group is to promote learning and development.

#### LSAB

The Adults Learning and Development Sub Group has met regularly and has had good attendance from multi-agency partners.

The Sub Group has undergone a number of changes with regard to its Chair, however, Lorraine Elliott, has taken on this role. The group members are committed to strengthening multiagency learning opportunities despite the challenges within existing financial constraints.

The main priorities for the group has been to review the terms of reference for the group, review the membership and begin to identify the work plan and future priorities for the group.

#### Key Achievements for 2016/17

- Web site presence for the LSAB and a page dedicated to Learning and Development.
- Delivery of single and multi-agency training sessions via the Care Act task and finish group, topics include: managing modern safeguarding challenges, MCA / DoLS and safeguarding and care homes. The task and finish group members have capitalised on existing networks and resources to realise statutory requirements on a cost neutral basis.
- Development of a process to agree and publish Seven Minute Briefing topics
- A conference on self-neglect has been held and evaluated well. The conference was oversubscribed indicating the need for further sessions.
- Agreement on future direction and focus on multiagency learning topics incorporating complex safeguarding matters.

## Priorities for 2017/18

- An Options Paper has been presented at the LSAB which outlines three options for the future direction of Learning and Development. This is currently under review. The preferred option is the development of a multi-agency training pool. A training pool model brings multiple benefits by trainers providing agency specific skills. The trainers bring knowledge and experience, along with different kinds of specialist knowledge combined with local knowledge re structures and systems.
- 7MB topics proposed and agreed:
  - Confidentiality and information sharing
  - Financial Abuse
  - Learning from SARs
  - MCA & DoLS
  - Best Interest decisions
  - Self-Neglect (incl. hoarding)
  - How to make a safeguarding referral
  - Safeguarding and interface with legislation
- Safeguarding Adult Review (SAR) learning will be a regular agenda item, agreement to incorporate key themes following SARs into the 2017 work plan. To date agreement on multiagency learning topics:
  - Consideration of domestic abuse in the context of adults with care and support needs
  - Strengthening MCA implementation across agencies, due to inconsistent awareness of how to apply the principles into practice
  - Risk assessment and safeguarding and effective use of family views
- Development of a robust process to cascade multiagency learning following the outcome of SARs. Where there is crossover with the LSCB learning and development subgroup, the group will join up to reduce duplication of efforts and provide a more consistent approach to safeguarding learning and development.
- Review the terms of reference (TOR) and ensure the membership is made up appropriate representatives including seniority.
- Arrangement of a learning and development day to plan and develop objectives for 2017/18

## LSCB

### Key Achievements for 2016/17

- 61 events planned;
- 920 people attended, with 112 non-attenders (11%);
- E-learning was popular again and 12,782 completed e-learning courses;
- 5 courses quality assured externally;
- 6 level 1 courses quality assured by L&D sub group;
- 14 seven minute briefings were published;
- One MALR facilitated and written;
- Training s11 collated and published;
- Published evaluation report.

## Priorities for 2017/18

- Ensure that an appropriate level of CSE training is available to all professionals who require it; specialist training should be targeted on those working with children and young people at risk of or suffering from CSE;
- Evaluate the impact of training with a focus on how it makes a positive difference to keeping children and young people safer;
- Use 7 minute briefing system to raise practitioner awareness and provide specialist information regarding a range of complex safeguarding concerns in annual training needs analysis;
- Include the scoping of training requirements regarding range of complex safeguarding concerns in annual training needs analysis;
- Ensure appropriate single training is provided to relevant staff;
- Provision of a focussed, directed training plan, aligned to the Board needs:
  - provision and maintenance of skilled training pool;
  - Maintain 4 e-learning courses. (CDOP, Level 1, Level 2, CSE);
  - Refresh of course materials for each course annually;
  - Publish 7 minute briefings 14 times per year;
  - Provide 80 courses per year, at levels 3 - 6;
  - Collate statistical information on attendance.
- Evaluate training provision by single agencies and the LSCB:
  - QA 4 LSCB course annually;
  - QA 6 single-agency courses annually;
  - Ask each participant for feedback and to set an action plan which is checked 3 months later;
  - Use the s.11 process to quality assure each member agency's level 1 and level 2 safeguarding training.
- Be reactive to needs of local, national and Board requirements/requests in respect of Learning and Development;
- Involvement with Board Chair's meeting ensure connectivity with SCR group and SCR a standing agenda item upon Learning and Development. Ensure national initiatives are upon agenda as required.

## ***6.3 Quality Assurance and Performance Information Sub Groups (LSAB and LSCB)***

### LSAB

Role – to ensure that the LSAB is assured that there is an effective and wide spread approach in ensuring the safety of adult citizens of Lancashire.

### Key achievements for 2016/17

- Formed a forum where safeguarding issues or potential issues can be discussed, resolved and shared
- Established a process to develop, implement and deliver a programme of multi-agency thematic audits, including having the knowledge, skills, abilities within the membership to undertake the audits
- Shaped an effective membership to identify and respond to changes in local and national safeguarding policy and priorities

- Committed to receiving, discussing and utilising data from multiple sources, with recognition that there is a vast amount of complex data
- Created a Terms of Reference for the sub group that ensures effective and relevant membership and a mechanism to focus the group's activities
- Initiated first multi-agency audit around the topic of Domestic Abuse in Vulnerable Adults

#### Priorities for 2017/18

- Maintaining the commitment from member organisations in supporting the function and remit of the group.
- Identifying key topics for audit for 2017/18 – the first of these being 'Time scales and information sharing'.
- Ensuring the sub group maintains its focus on its key priorities.
- To further refine the performance data presented to the group and the board.
- To explore how the group will align to the Safeguarding Adult Review (SAR) and the Learning and Development (L&D) sub groups.

#### LSCB

Role – to develop QA capacity and test the quality of multi-agency responses to vulnerable children and their families in order to inform service development and training needs.

#### Key achievements for 2016/17

- Appointment of new chair and Business Support Officer for QAPI
- Joint working with Rochdale to adapt their multi-agency audit process for use across Lancashire recognising the challenges of scale. Multi-agency training on the audit methodology.
- 3 multi-agency audits undertaken across Lancashire on:
  - Early intervention and Children in Need
  - 16/18 year old transitions as a result of recent SCR finding and findings of the Ofsted/CQC inspection of health providers in Lancashire.
  - Child Sexual Exploitation
- All audits to include generic questions on the Voice of the Child, Information sharing and assessment and planning. Discussions are to be had with the young inspectors re their involvement in this process.
- S47 audit completed as requested by the Improvement Board involving 36 cases chosen by CSC, which identified a number of issues relating mainly to record keeping. Good discussions have been held with CSC as a result, action plan developed and completed.
- S11 audit completed and challenge sessions held with 2 local councils, a health provider and probation.
- Performance dashboard developed for reporting to LSCB with agreed exception reporting.

#### Priorities for 2017/18

- Complete risk register amalgamating risk that currently sit at a sub group level and ensure regular updates to board.
- Robust analysis of S11 audits utilising new format and all members of the QAPI group to agree partners to be challenged.
- Undertake agreed multi-agency audits and focus group reviews.

- Monitor completion of action plans against completed audits

#### **6.4 Mental Capacity Act Implementation (MCA) Sub Group (LSAB)**

Role – to advise the LSAB on processes, procedures and outcomes in relation to the implementation of the MCA and Deprivation of Liberty Safeguards (DoLS).

It's estimated that as many as two million adults in England and Wales lack the mental capacity to make decisions on a daily basis. Consequently, the Mental Capacity Act 2005 (MCA) lies at the core of many decisions and should be a key theme of all services providing care for individuals with care and support needs. The MCA empowers people to make decisions for themselves wherever possible and protects people who lack capacity, by providing a framework that places individuals at the very heart of the decision-making process.

The MCA/ DoLS implementation subgroup was a newly formed subgroup of the board as of February 2016. The group was implemented following the House of Lords Select Committee recommendations and to support the work of the pan Lancashire MCA practice group. The purpose of the group is to advise the LSAB on processes, procedures and outcomes in relation to the implementation of the MCA and the Deprivation of Liberty Safeguards 2009. This includes progress updates and assurance of how the Act is embedded in practice across multiagency partnerships.

##### Key achievements for 2016/17

The group has made a positive contribution to the work of the LSAB, by identifying potential barriers to implementing best practice and highlighting areas of risk regarding MCA/DoLS implementation. Strategies have been implemented to mitigate potential risks and progress has been made to standardise practice across the system where appropriate. Over the reporting period the group have delivered on a number of objectives including:

- Following the successful development of the pan Lancashire MCA media resource and E book reported in the annual report of 2015/16; the resource was launched at a local conference in April 16 and shared with the national MCA sub group of NHS England. The work was shortlisted for a national 'Patient Safety' award and also featured in the national MCA forum chairs annual report of Baroness Finlay as an example of best practice. The links to the resource can be found below.
  - <https://youtu.be/6mQIN6Yw03E%20>
  - <http://pub.lucidpress.com/MCABLBNetwork/>
- The group have collaborated with regional and national groups sharing best practice resource tools across services, including the NHS Deciding Right App; a guide to support care providers through the process of making care decisions in advance for people who will or may lose capacity in the future, or those who have already lost capacity for those decisions.
- Over the reporting period there has been a significant investment in strengthening learning and development opportunities to support agencies in applying the principles of the Act into practice. Using funding received from NHS England the group have coordinated a number of multiagency training events, commissioning Afta- Thought; a drama based training company who specialise in training delivery using scenarios that are realistic, recognisable and measurable. The sessions were targeted across statutory services, including health, social care and the police along with independent care providers and third sector agencies. The sessions were well attended and evaluated positively.



- Expert speaker 'Neil Allen' Barrister from 39 Essex Chambers and Senior Lecturer at Manchester University was commissioned to provide targeted training on MCA and case law updates for GP's and hospital medics across the pan Lancashire footprint.
- Development of two 7 minute learning briefings in the Mental Capacity Act and how this applies in practice, along with a briefing to outline the role of Advocacy Focus - a statutory support service available to adults in Lancashire who are experiencing or living with health or social care needs.
- Purchase of easy read leaflets from RIPFA which have been used to raise awareness of the Act with the public.
- Commissioning of a pan Lancashire research project to understand the experience of health and social care provider's experiences of working with the Act. The research is the first of its kind from a local and national perspective and will inform practice with evidence based recommendations.
- Introduction of practice based learning sessions led by the MCA coordinator with opportunities to discuss case law updates and reflect on complex cases across statutory health and social care providers.

#### Priorities for 2017/18

- Further embed the MCA into practice across all agencies and effectively challenge providers to demonstrate compliance with the Act.
- Strengthening MCA arrangements for 16 & 17 year olds.
- Incorporation of the service user voice and engagement with the public to help in understanding their rights.
- Multi-agency audit against the ADASS MCA Improvement Tool.
- Consideration of the recommendations from the pan Lancashire MCA research project.

#### **6.5 Practice with Providers Sub Group (LSAB)**

Role – a multi-agency forum to discuss the wide safeguarding agenda following amendments to the Care Act, with a view to raising awareness and sharing learning across agencies and providers.

#### Key achievements for 2016/17

In consultation with partners:

- Developed the "LSAB Guidance for Safeguarding Concerns" including associated appendices. This guidance is for Providers and Practitioners as key partners in safeguarding adults with care and support needs. Its aims are to support delivery of professional safeguarding duties and responsibilities. It received approval of the LSAB on 21 April 2017 and subsequently has been shared widely by multi-agency partners in a range of forums, including the appendices:
  - Safeguarding Concerns Checklist
  - safeguarding guidance in relation to Medication Errors
  - safeguarding guidance in relation to Falls and unexplained injuries
  - safeguarding guidance in relation to incidents between service users
- Developed 7 minute briefings on the following:
  - Safe Use of Agency Staff
  - Oral Health for adults with Care and Support Needs
  - Risks regarding emollients and smoking



- Contributed to a review and a refresh of the Best Practice guidance for Pressure Ulceration
- Promoted the use of the Hydration Toolkit for care homes
- Facilitated discussion in response to concerns from Providers regarding the proposed health commissioning arrangements being introduced for Medicines Optimisation and Safety of Medicines in Care Homes including the Principles of managing the use of homely remedies
- Provided a briefing and awareness raising for Providers on the NHS England Prevent national update
- Made available to Providers a Care/Nursing home sample Safeguarding Adult Policy which is Care Act 2014 and Mental Capacity Act 2005 Compliant

### Priorities for 2017/18

- Raise awareness and engagement with Providers through a variety of methods including the Champions network and the communications and engagement group of 'Making Safeguarding Personal' agenda and engage with Providers as to how they can contribute to achieving positive and person centred safeguarding outcomes. This is of particular importance where a registered provider is asked to undertake a safeguarding enquiry on behalf of the commissioner /local authority for an adult in their care
- Develop guidance information and a report template to assist partners and/or providers by detailing the key areas to consider when a request has been made by the local authority safeguarding service for an internal provider led safeguarding enquiry to be completed
- Explore if and how this sub group could take forward initiatives from best practice evidence in relation to acknowledging adverse childhood experiences in adult safeguarding work to achieve outcomes that are more positive than might otherwise have been the case.
- Promote learning in relation to actions which may be relevant for all Providers from the findings of Serious Adult Reviews. Raise awareness of and consider the impact of ' 2nd victim ' to ensure that Providers are supported within a positive culture of learning.
- Collaborate with and support the 'Communications and Engagement group to ensure that registered Providers across Lancashire are reached, informed and contribute to the work of the LSAB and its sub groups.
- Continue to promote with the 'LSAB guidance for Safeguarding Concerns' with registered providers by ensuring that it is referenced within and promoted through the Multi-Agency safeguarding Policies and Procedures which are in development
- Continue to promote and share best practice guidance from the Social Care Institute for Excellence with care providers to improve the safety and quality of care and reduce the incidence of safeguarding concerns.
- To update and refresh these priorities in light of the LSAB objectives and or issues that may emerge and will benefit from input and action by this sub group.

### **6.6 Leadership Sub Group (LSAB)**

Role – a multi-agency forum to discuss the wide safeguarding agenda following amendments to the Care Act, with a view to raising awareness and sharing learning across agencies and providers.

### Key achievements for 2016/17

- Successful transfer of 3 area based Leadership Groups to one countywide group.
- Established effective links with Advocacy Focus

- Enabled partners to recognise the importance of the prevent strategy
- Ensured information relating to policy/procedures updates are effectively shared
- Improved working with Trading Standards
- Development of an Easy Read Safeguarding leaflet
- Contributed to the LSAB website with members of the board and identified requirements.
- Developed Self-Neglect guidance in conjunction with Principal Social Worker
- Increased awareness of online safety in vulnerable adults
- Provided insightful presentations and information from multi-agency partners on areas such as:
  - Clare's Law and Coercive Control;
  - Safeguarding in Prisons
  - Modern Slavery Act 2015 and the implications for all partners
  - Guardian Angels dementia project
  - Safeguarding and refugees and the impact of this
  - Financial abuse and working with adults with care and support needs
- Awareness of the new domestic abuse audits

#### Priorities for 2017/18

- Share learning from SARs and ensure learning embedded within the work of agencies
- Strengthen links with wider partners who are not represented on the sub group
- Further develop joint learning and networking
- Improve communication and engagement
- Develop a Safeguarding poster
- Share anonymised case examples.

#### **6.7 Lancashire Child Sexual Exploitation Operational Group (LSCB)**

Role: Operational multi-agency group to ensure a coordinated multi-agency response to CSE.

Three Operational Groups (Lancs/Blackpool/Blackburn with Darwen) were established in February 2016, with accountability to their respective LSCBs, and the Pan-Lancs CSE and MFH Strategic Board. The Lancashire Operational Group met for the first time in April 2016 and has developed over the reporting period, contributing to the following:

#### Key achievements for 2016/17

- A Business Co-ordinator with responsibility for CSE is now in post with the LSCB and supporting the work of this agenda.
- External review of the pan-Lancs CSE Strategic Action Plan. Many priorities marked as completed and Operational Groups tasked with focusing on those RAG rated as Amber or Red via local level action plans;
- Initiated a pan-Lancs review of Standard Operating Procedures for CSE. This work is ongoing via a multi-agency Task and Finish Group;
- Working towards a multi-agency Dataset to build a live picture of CSE in Lancashire. Group are utilising a tailored Sefton model to analyse a full year's data prior to review of the tool.
- Positive engagement in CSE Awareness Week in November 2016. The thematic focus of the week was around children and young people with disabilities and those from BME communities. Well attended multi-agency conference took place during the week, with a parallel

conference for young people. LSCB supported the week of action via attendance and promotional activity via Twitter.

- National CSE Awareness Day took place in March 2016, agencies of the Operational Group were engaged in the process, and again the LSCB took to Twitter to promote key messages of the National Working Group and agencies within Lancashire.

#### Priorities for 2017/18

- Successful completion and implementation of SOPs Review;
- Further develop an effective multi-agency data set;
- Implement learning from recent multi-agency CSE Audit;
- Development and implementation of a pan-Lancs Communications Plan;
- Engagement in Lancashire CSE Awareness Week (w/c 13 November) and National CSE Awareness Day;
- Consider and address findings and issues raised via the research project around the views and perceptions of CSE within minority communities;
- Assist and support the roll out of the 'Taxi Driver Workbook', and implement methods to analyse the impact
- Remain sighted on JTAI assessments
- Exploration of the problem of Child Criminal Exploitation and County Lines in Lancashire

#### **6.8 Pan-Lancashire Online Safeguarding Sub Group (LSCB)**

Role – To raise awareness and support agencies in protecting young people from the risks associated with the use of the internet and social media.

#### Key Achievements for 2016/17

- Successful production of 'Making Sense of...KCSIE'. Highly popular resource both within and outside of Lancashire region developed in response to school HT requests for guidance re: online aspects of Keeping Children Safe in Education 2016. Positive Ofsted feedback received on resource during school inspections.
- Development of new (Pan-Lancashire) [Online Safeguarding section on LSCB website](#) – formal launch on Mon 6th Feb 17 prior to Safer Internet Day (Tue 7th Feb 17)
- Governor session demand has seen substantial increase since publication of KCSIE in Autumn 2016. Implications of KCSIE 2016 delivered to series of Lancashire Governor Forums during Autumn 2016. Development of supporting School Governor Online Safety Self Review (Checklist) Tool released as part of Safer Internet Day 2017 activities has been well-received and has been adopted beyond Lancashire.
- Co-ordination and successful hosting of 4 x Online Safety Briefings (OSB) across Lancashire region during January 2017 - (5th iteration in Lancashire with highest attendance to-date (c. 350). Blackpool attendance significantly improved over 2016). In total, over 560 multi-agency professionals attended sessions which were again very well-received and feedback extremely positive.
- OSB events produced valuable multi-agency survey evidence from professionals across the children's workforce, highlighting areas where professionals would like to see further support.

- Updated Online Safeguarding Strategy 2017 – 2019 agreed and in place. Renewed Action Plan under development to focus on key Risk Areas and encompass support priorities identified in Lancashire multi-agency survey evidence from OSB 2017 events.
- Series of LSCB Safer Online Behaviour multi-agency L&D sessions commenced April 2017.
- Partnership activity with BwD LSCB includes delivery of Online Radicalisation/Counter-narrative sessions (series of 3 x sessions planned) for 2017/18.
- Enhanced links with NSPCC colleagues has resulted in increased partnership activity and promotion of national 'Share Aware' campaign and in-school support sessions for pupils.
- Media engagement opportunities including Lancashire Evening Post article (November 2016) and BBC Radio interview as part of Safer Internet Day 2017 promotional activities (February 2017).
- Commission to deliver series of (mandatory) Online Safety courses for foster carers.
- Continued development of Prevent for Schools (P4S) website as a nationally-recognised resource for schools. Development of dedicated Online Radicalisation/Extremism guidance for schools published in 2016. Site usage continues to increase both within and outside of Lancashire with highest ever access statistics recorded during March 2017.
- Continued requests for session delivery successfully met including recent increased demand for Online Radicalisation/Extremism and School Governor sessions.
- General feedback indicates increasing school acknowledgement of Online Safety identified as a Safeguarding rather than ICT issue (a recurring key message in Lancashire over recent years).
- Active engagement with School PSHE Networks has resulted in a number of YP from Lancashire schools being selected for both National focus groups and a European research project.
- Requests for consulting-advisor input into development of (national) projects and resources has continued and supports Lancashire input into national developments.
- Increasing multi-agency engagement and recognition of LSCB central hub of expertise. Particularly useful engagement from Health colleagues - online aspects increasingly appearing around Health & Wellbeing priorities.

#### Priorities for 2016/17

- Continue awareness raising activities for key Risk Areas including Online CSE, Bullying, Sexting, Online Radicalisation and wider developing Social Media-related issues (e.g. false news/misinformation).
- Progression of LSCB Online Safeguarding web presence including development informed through site analytics and Lancashire survey evidence.
- Development of agreed Pan-Lancashire Action Plan reflecting priorities and agency activity informed by existing and developing Online Safety risks and results of children's workforce survey. Build upon OSB data to evidence and support multi-agency priorities and subsequent activity.
- Develop and encourage increased multi-agency partner commitment to co-ordinated activities, including liaison with related organisations (e.g. CPB).
- Reflect LSCB joint-business approach through development of adult-focussed provision including vulnerable groups and associated risk areas.
- Build on current Govt focus and forthcoming UK Internet Safety Strategy and maximise opportunities to support Lancashire C&YP and associated workforce.

- Maintain core recommended resources and guidance to support progression. Review (historical) Tri-X guidance for currency to ensure reflection of agreed policies and processes.
- Secure commitment to repeat Online Safety Briefing events across Lancashire region for 2018. Co-ordinate and support events including repeat of children's workforce survey.
- Support embedding of Online Safety aspects within DSL responsibilities and associated training delivery.
- Ensure national developments and evolving nature of online agenda and associated priorities (e.g. factors influencing online radicalisation) are reflected in future priorities.
- Ensure existing and developing Online risk areas are appropriately reflected in Lancashire Continuum of Need. Investigate potential inclusion of Online Safety within future S11 revisions.
- Continue to provide central hub of Online Safety expertise and guidance across Lancashire to support positive outcomes for C&YP and Parents & Carers.

Demand for support around Online Safety agenda is likely to remain high. Substantial update to DfE Keeping Children Safe in Education is anticipated in 2018.

UK Digital Strategy currently under development will include UK Internet Safety Strategy (Green Paper expected Summer 2017) – central Government focus on Online Safety is currently at all-time high.

### ***6.9 Pan-Lancashire Child Death Overview Panel (CDOP) (LSCB)***

Role – Reviews all child deaths in Lancashire to identify themes and trends to inform preventative developments

#### Key Achievements 2016/17

By far, one of the biggest achievements in 2016/17 was the introduction of the eCDOP database. From January 2017 all deaths are now notified to the CDOP team via the new online system and all Form B requests for completion are also requested online. All agency contacts who complete CDOP forms received training on the system and a user guide was also developed.

CDOP also held a Development Day which included presentations from RoSPA about current campaigns and how it can link into the CDOP. The Blackburn, Hyndburn and Ribble Valley Coroner also delivered a presentation around the role of the coroner and CDOP members had the chance to ask questions in relation to queries raised during case discussions meetings.

The Review of SUDC Service was completed and it was agreed by CDOP to extend the service. The review and options paper were subsequently presented to the Collaborative Commissioning Board in December and all CCGs across Pan-Lancashire agreed to the extension of the service. A multi-agency SUDC Steering Group was formed to oversee the implementation of the new service.

#### Priorities for 2017/18:

- Oversee the proposed changes to the SUDC Service
- To implement the recommendations from the ACE Audit
- Update the safer sleep materials timeline; secure future funding for the campaign and also link into the wider public health events calendar
- Hold a Safer Sleep CDOP Conference for professionals

- To scope out undertaking further thematic reviews and look into possibility of building on suicide thematic review
- Secure funding for Safer Sleep campaign and also link into wider public health events calendar to further promote the campaign and materials
- CDOP to have oversight of implementing the recommendations in the NW Infant Mortality sector Led Improvement report

### **6.10 Joint Communication and Engagement Sub Group**

Role – to enable the effective delivery of key messages and awareness raising around issues of safeguarding for the residents of Lancashire

The LSAB/LSCB Joint Development Day in March 2017 agreed the need for a joint sub group to focus on communication and engagement of key safeguarding issues. Although established outside of the reporting year (June 2017), it seems appropriate to update on communication and engagement activity to have taken place during 2016/17 and the priorities the group will work towards for 2017/18.

#### Key Achievements for 2016/17

- Website development – a new LSAB website was developed during 2016/17, going live in January 2016. The website offers information and resources for practitioners and providers alike.
- Press engagement – the Boards have trialled engagement with the local press as a mechanism of sharing key safeguarding messages with the general public in order to raise awareness of important issues, help people 'spot the signs' and take appropriate action. The following articles were published:
  - Suicide – the LSAB worked with the Lancashire Evening Post as part of a three-day special investigating the high rates of suicide in Preston, and other areas of Lancashire, with a view to heighten the awareness of the issue and campaign for further work to address it.
  - Emollients and Fire Safety – following the tragic death of a care home resident, the LSAB launched a campaign with the Lancashire Fire and Rescue Service to raise awareness of the potential dangers in fire safety when using emollients containing a high level of paraffin. The article was published across various local newspapers across Lancashire, resulting in the issue being picked up nationally and the LSAB Chair being interviewed for a feature on Radio 5.
  - Online safeguarding – an article was published in November 2016, following an interview with the LSCB Chair and Online Safeguarding Advisor, to highlight possible online dangers to parents, and to provide them with tips on the most effective ways to address the issues with their children.
  - Dangers of button batteries – in the lead up to Christmas 2016, the CDOP Chair and Designated Doctor were involved in an article to heighten the awareness of the potential dangers of button batteries when swallowed. The article gave examples of where the batteries could be found – for example in children's toys – and the best action to take in the event one is swallowed.



- Twitter – both the LSAB and LSCB took to Social Media in May 2016 as another mechanism for promoting key safeguarding messages. Over the reporting year, the platform has been used to support many national and local campaigns and signpost users to information and support. Examples of campaigns include:
  - Child Safety Week – June 2016
  - Exam Results support – August 2016
  - Lancashire CSE Awareness Week – November 2016
  - Safer Internet Day – February 2017
  - National CSE Day – March 2018
  - Baby Loss Awareness Week – October 2016
  - Road Safety Awareness Week – November 2016
  - Safer Sleep Week – March 2017

#### Priorities for 2017/18

- Sub Group – agree Terms of Reference and Work plan for 2017/18;
- Development and implementation of a Communication and Engagement Strategy;
- Establish and publish quarterly newsletters regarding safeguarding matters;
- Support the sharing of learning from SARs and SCRs, and lead on any specific campaigns needed to fully embed learning. Campaigns agreed so far focus on:
  - Cannabis use and its effect on parenting capacity;
  - Adverse Childhood Experiences;
  - Prevention of non-accidental head injuries in babies;
- Develop a suite of 'Safeguarding Leaflets' to promote an awareness and understanding of safeguarding in various settings to assist practitioners and members of the public in recognising that safeguarding is everyone's business, and what to do when there is a concern;
- Further develop the LSAB website, and review and update existing content of the LSCB website;
- Establish effective methods of engagement to gain the views and input of service users;
- Identify methods to measure the impact of communication and engagement activity.

## 7. Budget

The below details the contribution and expenditure against the LSAB/LSCB budget during 2016/17.

| INCOME   | Outturn 16/17   |
|--|-----------------|
| <b>Contributions to Board</b>  |                 |
| North Lancashire CCG   | 33,164          |
| Fylde & Wyre CCG   | 33,164          |
| Greater Preston CCG  | 26,864          |
| West Lancashire CCG  | 14,850          |
| Chorley & South Ribble CCG   | 23,265          |
| East Lancashire CCG  | 66,329          |
| Police   | 76,723          |
| National Probation Service*  | 0               |
| Community Rehabilitation Company 15/16   | 9,189           |
| Community Rehabilitation Company 16/17   | 11,633          |
| Cafcass  | 550             |
| Lancashire County Council  | 255,813         |
| Lancashire Teaching Hospitals NHS Trust  | 4,000           |
| Training income  | 7,950           |
| Miscellaneous Income   | 3,254           |
| Deficit funded from reserves   | 6,539           |
|  | <b>573,287</b>  |
| *National Probation Service contribution delayed due to ongoing discussions re national formula.   | (6,745)         |
|  | <b>566,542</b>  |
|  |                 |
| <b>Child Death Overview Panel</b>  |                 |
| Lancashire County Council  | 74,000          |
| Blackburn with Darwen Borough Council  | 14,700          |
| Blackpool Borough Council  | 9,800           |
|  | <b>98,500</b>   |
|  |                 |
| <b>Contribution back to BWD &amp; BBC from reserves</b>  | <b>(24,500)</b> |
| Following an in year review of CDOP budget, a reserve of monies built up from previous years was repaid proportionately to contributing authorities. |                 |
| <b>TOTAL LSCB/LSAB INCOME 16/17</b>  | <b>640,543</b>  |

| EXPENDITURE    | Outturn 16/17  |
|----------------|----------------|
| <b>Central</b> |                |
| Staffing Costs | 238,529        |
| Transport      | 4,463          |
| Supplies       | 95,496         |
| Training       | 10,169         |
| Other Expenses | 12,421         |
|                | <b>361,078</b> |



|  |                |
|--|----------------|
| <b><u>Child Death Overview</u></b>       |                |
| Staffing Costs                           | 42,316         |
| Transport                                | 236            |
| Training                                 | 330            |
| Supplies                                 | 21,724         |
| Other Expenses                           | 833            |
|  | <b>65,439</b>  |
|  |                |
| <b><u>Serious Case Review</u></b>        |                |
| Staffing Costs                           | 21,011         |
| Supplies                                 | 53,583         |
| Training                                 | 723            |
| Transport                                | 262            |
| Other Expenses                           | 892            |
|  | <b>76,471</b>  |
|  |                |
| <b><u>Training</u></b>                   |                |
| Staffing Costs                           | 78,679         |
| Training                                 | 42,537         |
| Supplies                                 | 12,817         |
| Transport                                | 1,364          |
| Other Expenses                           | 2,158          |
|  | <b>137,555</b> |
|  |                |
| <b>TOTAL LSCB/LSAB EXPENDITURE 16/17</b> | <b>640,543</b> |

## 8. Contact Details

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🌐 Website: <http://www.lancshiresafeguarding.org.uk/>

### Multi-agency Safeguarding Hub (MASH) – Diagnostic June 2016 Executive Summary

- No ownership in terms of strategic governance;
- No joint commissioning;
- No single management function;
- Stage one running since April 2013 on basis of police only referrals;
- Original vision was for Pan-Lancashire and across full age-range but the Unitaries subsequently split off (has achieved viable approach at that scale).
- No clarity as to function i.e. is this a referral unit, a triage system or a problem solving function?
- Scope expected 30,000 police referrals – reality is 50,000;
- Scope for stage 2 onwards was projected as likely to be 60,000 now known to be more like 90,000+
- Original vision to include all groups but reality is only children's work at present;
- Multi-agency team in place, broadly cover the ground for children's cases – needs different approach to fully encompass adults;
- Original vision was to screen all agency incoming work and identify the vulnerable – the reality is even taking only police referrals where vulnerability is already identified it is clear the process doesn't necessarily add value in a significant number of cases;
- Of the above around 50,000 cases 50% are not subjected to full MASH process and would benefit from Early Help
- Unwieldy processes ( more than 60 steps in police process alone if fully "Mashed") result in slower processes and increased cost;
- Commonality of language and definitions of risk are still issues;
- The process has resulted in backlogs which can itself generate risk;
- Significant commitment and investment has been forthcoming from agencies. (e.g. £1.7 million from Police alone for MASH service)
- Only the police cover 24/7
- Single site/single service has brought consistency but reduced local connections;
- Safe service (inspectorate view) - but this really relates to cases where safeguarding issues are clear from outset – much more complex issues about recognition of risk.

**BUT - clear evidence of improved safeguarding in relevant cases and much richer information sharing.**

#### **Moving to stage 2:**

- Stage 2 work is currently processed via Customer Access and then CART – issues here about decision making and duplication;
- Likely to be even greater proportion of cases which would benefit from Early Help;
- Managing 90,000 cases via MASH is not viable as the one size fits all has proved to be unhelpful and caused a delay in service – diversion of those needing “early help” and clear service pathways are needed.

- Adult services– current team (who are co-located) receive all “safeguarding” alerts and both collect a limited amount of multi-agency information, assess risk and where possible provide a problem solving service – There is lack guidance around thresholds.
- Location/locality need to be considered – consistency is important but the loss of local interaction across service providers has a negative impact.

### **Recommendations:**

1. Identify high level accountability and establish effective strategic group to drive forward to stage 2;
2. Re-visit vision, objectives and customer cohort for MASH;
3. Scope likely workload and identify resource requirements;
4. Commission service redesign;
5. Agree areas for joint commissioning - including non-service specific staff e.g. referral assistants;
6. Agree multi-agency partners and single agency contribution/resource commitment;
7. Explore integrated agency approach with single line management chain;
8. Explore options re single/central versus locality based arrangements;
9. Identify and align under-pinning areas:
  - Redesign e.g. Customer Services and Police Contact management
  - Establishment of refreshed thresholds
  - Development of common language and common risk assessment measures;



















Jane Booth, LSCB Chair June 2016

### **Full MASH Diagnostic Report:**



MASH Diagnostic  
FINAL REPORT July 1

## Appendix 2 – Service Area Annual Reports

|  |  |
|--|--|
| 1. Local Authority Designated Officer (LADO)           |  <br>LADO .pdf                       |
| 2. Common Assessment Framework (CAF)                   |  <br>CAF.pdf                         |
| 3. Wellbeing, Prevention and Early Help (WPEH)         |  <br>WPEH.pdf                        |
| 4. Counter Terrorism                                   |  <br>CT.pdf                          |
| 5. Domestic Abuse                                      |  <br>Domestic Abuse.pdf              |
| 6. Independent Reviewing Officer (IRO)                 |  <br>IRO Annual Report 2016-17.pdf |
| 7. Multi-agency Public Protection Arrangements (MAPPA) |  <br>Mappa LSCB 2016 2017.pdf    |
| 8. Secure Estate (Young offenders institutes)          |  <br>- YOT.pdf                   |
| 9. Private Fostering                                   |  <br>Private Fostering.pdf       |

### Appendix 3 – Attendance Breakdown 2016/17

| Lancashire Safeguarding Adult Board meetings<br>Member representation | % Atn     |
|---|-----------|
| Independent Chair   | 100       |
| LCC – Director of Adult Services                                      | 60        |
| LCC – Lead Member   | 40        |
| LCC – Director Public Health  | 60        |
| LCC – Head of Patient Safety and Quality Improvements                 | 80        |
| LCC – Principal Social Worker   | 80        |
| LCC – Quality Improvement and Safety Specialist                       | 100       |
| LCC – County Operations Manager                                       | 100       |
| Lancashire Constabulary   | 100       |
| Chorley and South Ribble, West Lancs and Preston CCG                  | 80        |
| East Lancashire CCG   | 100       |
| Fylde and Wyre CCG  | 100       |
| Lancashire North CCG  | 100       |
| Lancashire Care Foundation Trust                                      | 100       |
| Lancashire Teaching Hospitals   | 40        |
| MerseyCare NHS Foundation Trust                                       | 20        |
| NHS England   | 80        |
| NW Ambulance Service  | 0         |
| Probation   | 80        |
| Cumbria and Lancs Community Rehabilitation Company                    | 50        |
| Lancs Fire & Rescue Service   | 100       |
| Healthwatch Lancashire  | 100       |
| Prison Services   | 20        |
| Rep of Housing Providers  | 100       |
| Rep of Independent Providers  | 100       |
| <b>Overall</b>  | <b>76</b> |

| Lancashire Safeguarding Children Board meetings<br>Member representation | % Atn     |
|--|-----------|
| Independent Chair  | 100       |
| LCC – Director Children's Services                                       | 100       |
| LCC – Lead Member  | 50        |
| LCC – Director Public Health   | 67        |
| Lancashire Constabulary  | 100       |
| Chorley and South Ribble, West Lancs and Preston CCG                     | 100       |
| East Lancashire CCG  | 83        |
| Fylde and Wyre CCG   | 83        |
| Lancashire North CCG   | 67        |
| Blackpool Teaching Hospitals   | 100       |
| East Lancashire Teaching Hospitals                                       | 100       |
| Lancashire Teaching Hospitals  | 83        |
| Lancashire Teaching Hospitals (GP Rep)                                   | 33        |
| Lancashire Care NHS Foundation Trust                                     | 100       |
| Southport and Ormskirk Hospitals   | 33        |
| University Hospital of Morecambe Bay                                     | 17        |
| NHS England  | 50        |
| Probation  | 100       |
| Cumbria and Lancs Community Rehabilitation Company                       | 83        |
| Wyre Borough Council   | 67        |
| The Children's Society   | 67        |
| HARV   | 0         |
| Cafcass  | 67        |
| Primary Schools  | 50        |
| Secondary Schools  | 50        |
| Further Education  | 67        |
| Lancashire Association of School Governors                               | 67        |
| Lay Member 1   | 25        |
| Lay Member 2   | 50        |
| <b>Overall</b>   | <b>68</b> |



**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Director of Financial Resources****Part I**Electoral Divisions affected:  
All**Money Matters 2017/18 Position - Quarter 1**

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

Contact for further information:

Neil Kissock, (01772) 536154, Director of Financial Resources,  
[neil.kissock@lancashire.gov.uk](mailto:neil.kissock@lancashire.gov.uk)**Executive Summary**

This report provides an update of the forecast outturn Financial Position for 2017/18 on revenue and capital as at 30 June 2017, and the County Council's updated Medium Term Financial Strategy for the period 2017/18 to 2021/22. The report also sets out budget proposals for Cabinet to consider.

**Recommendation**

The Cabinet is asked to:

- (i) Note the forecast underspend of £5.022m on the 2017/18 revenue budget.
- (ii) Note the revised Medium Term Financial Strategy (MTFS) and funding gap of £167.132m covering the period 2018/19 to 2021/22.
- (iii) Note the position in respect of the Council's reserves and to agree the transfers outlined in the report.
- (iv) Note the position in respect of the Capital Programme in-year delivery for 2017/18.
- (v) Note the additions to the Capital Programme approved during Quarter 1 of 2017/18 set out in Table 1 of Appendix 'F'.
- (vi) Agree the re-profiling of the County Council's Capital Programme for 2017/18 as set out in Table 1 of Appendix 'F'.
- (vii) Approve the budget proposals set out within Appendix 'D', authorise officers to proceed with their implementation and agree that the 2018/19 budget is based upon these revenue decisions.
- (viii) Note the budget proposals set out within Appendix 'E' and request that officers prepare a full Equality Impact Assessment to be considered at the next meeting of Cabinet on 12 October.

## **Background and Advice**

### Financial Position as at 30 June 2017 (Appendix 'A')

An underspend is forecast for the County Council of £5.022m and represents a variance of 0.69% against the overall County Council budget. This is subject to a number of assumptions around the anticipated profile of expenditure for the rest of the year which is difficult to predict in some demand led budget areas. The report identifies those areas where forecast pressures exist and will be subject to ongoing detailed review with a focus on controlling and reducing costs and the delivery of an improved financial position by year-end.

The 2017/18 budget of £724.822m includes a significant savings requirement of c£54m. However, a significant proportion of savings will not be fully implemented until 2018/19 and as it was agreed that these would be covered by the use of reserves to facilitate the transformation of services.

The report provides details as to progress on the achievement and delivery of the savings relating to each Head of Service. The level of reserves that were approved to be applied from the Transitional Reserve 2017/18 in support of the delivery of savings was £24.2m and the amount that is now forecast to be required is £17.2m. This is due to early delivery of some savings, particularly through staff vacancies and turnover, although this is partially offset by some budget savings that are delayed and will require reserve funding to cover the delay in implementation.

The forecast position includes £95.737m from reserves which includes the strategic investment reserve, downsizing reserve, risk management reserve, transitional reserve and specific service reserves. (Details can be found in Appendix 'C').

Delivery of the significant savings programme is a key risk area and the savings plans will continue to be subject to detailed regular scrutiny throughout 2017/18.

### The Medium Term Financial Strategy (Appendix 'B')

A revised MTFs was presented to Cabinet in September with a reported funding gap of £167.132m.

This report provides an updated position for the rolling 4 year period to include 2021/22 and a review of the existing assumptions to reflect the most current information available. As a result of these reviews and despite the identification and identification of £45.628m of new savings (the MTFs includes an assumption that all identified savings in Appendices 'D' and 'E' will be agreed) the funding gap has increased to £167.132m.

The increased gap is also as a result of the inclusion of an additional year's funding, demand and inflationary pressures. The forecast funding gap increases in each of the next 4 years, but it is important to note that the increases are not evenly spread, with a gap of £90.205m forecast for 2018/19, £98.637m in 2019/20, £150.495m in 2020/21 and £167.132m in 2021/22.



## The County Council's Reserves Position (Appendix 'C')

At Full Council in February 2017 the revenue budget included a forecast commitment from the Transitional Reserve of £88.040m in 2018/19 to support the reported financial gap at that time. However, following a review of the Medium Term Financial Strategy (MTFS) for Cabinet based on the financial position at the end of June 2017 (Appendix B), it has been identified that the gap between forecast expenditure and funding in 2018/19 is £90.205m.

The value of the uncommitted Transitional Reserve is currently £91.498m and, whilst it is anticipated that further revenue savings for 2018/19 will be identified, Table 2 shows the impact of utilising the Transitional Reserve to fund the £90.205m gap which would leave £1.293m for 2019/20 based on current forecasts. Table 2 demonstrates the funds that are forecast to be available to support the budget gap in 2018/19 and part of 2019/20. However, in order to set a legal budget further savings will need to be made.

Table 1 also shows available balances in the Strategic Investment Reserve, Risk Management Reserve and Service Reserves where work is currently underway to review if there are further commitments or other conditions (such as grant requirements) that would mean that these funds cannot be transferred to the Transitional Reserve. The total of the balances under review is £9.501m.

The report indicates that there are sufficient funds within the Transitional Reserve to support the budget gap between forecast expenditure and available funding in 2018/19 but not then in 2019/20 and beyond. However, this is dependent upon a number of key factors and risks which are as follows:

- All values within reserves that are currently reported to be available are transferred into the transitional reserves with no further commitments emerging in these areas now that the transfer has taken place.
- There is limited slippage on the agreed savings programme for 2018/19 and beyond. Any slippage will result in a requirement for funding from reserves.
- Further savings are identified and implemented from April 2018 to support achieving a balanced budget position.
- Impact of the in-year revenue position – a positive or negative outturn will impact on the level of reserves available from April 2018.

## Additional Savings 2018/19 – 2021/22 (Appendix 'D')

As the County Council continues to have a significant and increasing financial gap over future financial years a detailed review has been completed of service budgets. This has resulted in initial savings totalling £45.628m (over the next 3 financial years) being included within this MTFS from 2018/19 onwards with the total value presented across Appendices 'D' and 'E'.

Appendix 'D' contains those savings that are deemed not to require an Equality Impact Assessment as it is not considered that these proposals will have any negative impact on any persons with protective characteristics as set out in s.149 of the Equality Act 2010.

This is the first phase of savings that will be put forward with further phases to follow. These savings are deemed to be deliverable from 1 April 2018, with some savings reflecting work that is already underway within services. Many of these savings are relatively straightforward to deliver with some already being shown as underspending areas within 2017/18 budget monitoring. These savings primarily cover efficiencies, recurrent underspends, income generation and service changes which are not expected to have a negative impact on front line service delivery.

It is anticipated that further savings proposals will be presented for approval at future Cabinet meetings, reflecting that there remains an estimated shortfall of £90.205m in 2018/19 should savings in this report be agreed and delivered.

#### Additional Savings 2018/19 – 2021/22 (Appendix 'E')

Appendix 'E' contains those savings proposals that are considered to require an Equality Impact Assessment as it is considered that these proposals may have a negative impact on any persons with protective characteristics as set out in s.149 of the Equality Act 2010.

#### Capital Monitoring – Quarter 1 (Appendix 'F')

This report sets out the Quarter 1 capital monitoring position for 2017/18 against the re-profiled capital programme 2017/18 budget approved by Full Council in February 2017.

The report presents the Quarter 1 forecast position for the 2017/18 programme showing the projected 2017/18 outturn position, the variance against budget in value and percentage in addition to the expenditure to date as at the end of June 2017 (this is also shown as a value and percentage of budget to assess progress against the year's programme).

At the end of June 2017 the 2017/18 programme of delivery is expected to spend £1.221m less than the agreed profile.

### **Equality and Cohesion**

Cabinet must ensure that they comply with the requirements of the Public Sector Equality Duty contained in s.149 of the Equality Act 2010.

Appendix 'D' contains proposals that it is not considered will have any negative impact on any persons with protected characteristics as defined in s.149, whilst Appendix 'E' contains those proposals that require an assessment that will be presented to Cabinet in October.

## **Implications:**

This item has the following implications, as indicated:

### **Risk management**

The County Council's overall approach to managing financial risks continues to be to identify and acknowledge risks early and build their impact into financial plans while continuing to develop strategies which will minimise their impact. This approach operates in parallel with the identification and setting aside of sufficient resources to manage the financial impact of the change risks facing the organisation.

The financial risks that could affect the position outlined in the report primarily cover the following:

- Level of Future Resources from Central Government

Risks remain in relation to the level of resources the Council receives from the government in terms of Revenue Support Grant and the impact of the statement by the Chancellor of the Exchequer regarding the retention of 100% business rates and the ending of RSG by the end of this Parliament. At this point in time there is insufficient detailed information regarding the changes to amend the funding assumptions within the MTFs.

- Demand

There is continued pressure on the Council's budget, particularly around Adults and Children's social care, and the most up to date demand forecasts have been included.

However any increase in demand over above that forecast will add additional pressure to future years.

- Inflation

A significant level of additional resource has been included in the MTFs, primarily on contractual price increases and particularly on social care where there are nationally recognised funding issues in the residential and domiciliary care markets. In addition, the MTFs includes estimates of the cost of increases that would enable independent sector providers to meet the additional costs of meeting new national living wage levels for their employees.

- Delivery

The MTFs assumes that c£54m of existing agreed savings (aside from those agreed within these reports) will be delivered in the period 2017/18 to 2020/21 to ensure the current forecast gap does not increase. There are a significant number of factors, both internal and external which may impact upon delivery and the impact of these

on new and existing budget proposals being taken forward will need to be clearly identified and minimised.

### **Consultations**

N/A

### **List of Background Papers**

| Paper                       | Date            | Contact/Tel                 |
|-----------------------------|-----------------|-----------------------------|
| The County Council's Budget | 9 February 2017 | Neil Kissock/(01772) 536154 |

Reason for inclusion in Part II, if appropriate

N/A

**Money Matters**  
**The County Council's Financial Position**  
**As at 30th June 2017**

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# Money Matters – Update on the County Council's Financial Position for 2017/18

## 1. Introduction

This report provides an update for Cabinet on the County Council's 2017/18 revenue financial position.

## 2. Summary of the Financial Position

In February 2017 the County Council approved a revenue budget of £724.822m which includes a contribution from reserves of £57.106m to fund the shortfall between estimated expenditure levels and available funding.

The forecast final position for the end of the year is net expenditure of £719.800m, reflecting a predicted in year underspend of £5.022m which represents 0.69% of the budget.

Detailed budget monitoring has been undertaken at Head of Service level, but for reporting purposes each Head of Service's financial performance is presented as part of their Director (line manager's) area of responsibility.

The report reflects the organisational structure with detailed budget monitoring undertaken at Head of Service Level and is summarised in the report up to their appropriate management line, e.g. the Director for Development and Corporate Services. All forecast variances +/- £0.1m are explained within the report along with any mitigating actions being put in place.

The 2017/18 budget of £724.822m includes a significant savings requirement of c£54m. However, a significant proportion of savings will not be fully implemented until 2018/19 and as it was agreed that these would be covered by the use of reserves to facilitate the transformation of services.

The narrative provides details as to progress on the achievement and delivery of the savings relating to each Head of Service. The level of reserves that were approved to be applied from the Transitional Reserve 2017/18 in support of the delivery of savings was £24.2m and the amount that is now forecast to be required is £17.2m. This is due to early delivery of some savings, particularly through staff vacancies and turnover, although this is partially offset by some budget savings that are delayed and will require reserve funding to cover the delay in implementation.

The forecast position includes £95.737m from reserves which includes the strategic investment reserve, downsizing reserve, risk management reserve, transitional reserve and specific service reserves. (Details can be found in Appendix C).

Delivery of the significant savings programme is a key risk area and the savings plans will continue to be subject to detailed regular scrutiny throughout 2017/18.

### 3. Section A

Key Issues emerging are as follows:

| Ref | Service Area                       | Approved Budget | Current Period Forecast Outturn | Current Period Forecast Variance | Current Period Forecast Variance |
|-----|------------------------------------|-----------------|---------------------------------|----------------------------------|----------------------------------|
|     |                                    | £m              | £m                              | £m                               | %                                |
| 3.1 | ADULT SERVICES                     | 341.066         | 340.925                         | -0.141                           | -0.04%                           |
| 3.2 | CHILDREN'S SERVICES                | 145.624         | 143.738                         | -1.886                           | -1.30%                           |
| 3.3 | COMMUNITY SERVICES                 | 133.279         | 135.315                         | 2.036                            | 1.53%                            |
| 3.4 | PUBLIC HEALTH & WELLBEING          | 20.538          | 19.318                          | -1.220                           | -5.94%                           |
| 3.5 | DEVELOPMENT AND CORPORATE SERVICES | 42.920          | 46.452                          | 3.533                            | 8.23%                            |
| 3.6 | COMMISSIONING                      | 40.293          | 38.266                          | -2.027                           | -5.03%                           |
| 3.7 | CHIEF EXECUTIVE                    | 1.102           | -4.214                          | -5.316                           | -482.40%                         |
|     | <b>TOTAL</b>                       | <b>724.822</b>  | <b>719.800</b>                  | <b>-5.022</b>                    | <b>-0.69%</b>                    |



### 3.1 Operations and Delivery – Adult Services

| Ref   | HEAD OF SERVICE                               | Approved Budget | Current Period Forecast Outturn | Current Period Forecast Variance | Current Period Forecast Variance |
|-------|---|-----------------|---------------------------------|----------------------------------|----------------------------------|
|       |   | £m              | £m                              | £m                               | %                                |
| 3.1.1 | DISABILITY (ADULTS)                           | -3.795          | -3.928                          | -0.133                           | -3.50%                           |
| 3.1.2 | OLDER PEOPLE                                  | 1.048           | 1.820                           | 0.772                            | 73.66%                           |
| 3.1.3 | LEARNING DISABILITIES, AUTISM & MENTAL HEALTH | 175.892         | 169.375                         | -6.517                           | -3.71%                           |
| 3.1.4 | SOCIAL CARE SERVICES (ADULTS)                 | 167.921         | 173.658                         | 5.737                            | 3.42%                            |
|       | <b>TOTAL - ADULT SERVICES</b>                 | <b>341.066</b>  | <b>340.925</b>                  | <b>-0.141</b>                    | <b>-0.04%</b>                    |

The total net approved budget for Adult Services in 2017/18 is £341.066m. The service is forecast to underspend by £0.141m.

#### 3.1.1 Disability Service (Adults)

The service is responsible for 9 registered supported living services, 8 registered short break (respite) services and 12 day services. There are currently 297 carers supporting 380 adults with a range of learning disabilities, physical disabilities and older adult in the early stages of dementia.

The Disability (Adults) Service is forecasting a positive variance to budget of £0.133m. A further breakdown by gross, income and net expenditure is shown below:

|                          | Approved Budget | Current Period Forecast Outturn | Current Period Forecast Variance |
|--------------------------|-----------------|---------------------------------|----------------------------------|
|                          | £m              | £m                              | £m                               |
| <b>Gross Expenditure</b> | 27.703          | 27.458                          | -0.245                           |
| <b>Income</b>            | -31.498         | -31.386                         | 0.112                            |
| <b>Net Expenditure</b>   | <b>-3.795</b>   | <b>-3.928</b>                   | <b>-0.133</b>                    |

The 2017/18 variance to budget is as a result of a slight underspend on operational costs and small under recovery of income.

#### 3.1.2 Older People

The Older People Service is forecast to achieve a negative variance to budget of £0.772m. The service contains in-house care services in addition to care navigation and operational administration which are discussed separately below.

## In-house Care Services

The service is responsible for 17 residential homes for older people, 16 homes have specialised dementia units and presently 8 homes have dedicated Community bed units providing rehabilitation and recuperation and supporting hospitals to discharge patients in a timely fashion. We provide 13 Day Time Support Centres across Lancashire (a third of which focus on dementia).

In-house Care Services are forecast to achieve a negative variance to budget of £0.825m. A further breakdown by gross, income and net expenditure is shown below:

|                          | <b>Approved Budget</b> | <b>Current Period Forecast Outturn</b> | <b>Current Period Forecast Variance</b> |
|--------------------------|------------------------|--|---|
|                          | <b>£m</b>              | <b>£m</b>                              | <b>£m</b>                               |
| <b>Gross Expenditure</b> | 20.833                 | 20.931                                 | 0.098                                   |
| <b>Income</b>            | -21.930                | -21.203                                | 0.727                                   |
| <b>Net Expenditure</b>   | <b>-1.097</b>          | <b>-0.272</b>                          | <b>0.825</b>                            |

This variance is due to a forecast under achievement of income of £0.727m and a forecast overspend of £0.118m on staffing, as the restructured service is not fully occupied and agency staff are being utilised to deliver the service and a slight underspend on general operational costs of £0.020m.

The service has is forecasting an undeliverable saving in 2017/18 of £0.425 that has been included within the Medium Term Financial Strategy at Quarter 1.

## Care Navigation & Operational Administration

The service is forecast to underspend by £0.053m.

The forecast includes the planned application of non-recurrent funding contribution from reserves of £0.460m towards staffing costs.

### 3.1.3 Learning Disability, Autism & Mental Health

The Learning Disability, Autism and Mental Health Service is forecast to underspend by £6.517m in 2017/18.

#### Learning Disabilities

Learning Disability Services includes the provision of care service including residential and nursing care, but predominantly focusses on supported living and direct payments. Services are commissioned via a pooled fund arrangement with the six Lancashire CCGs. The LCC share of the service is forecast to underspend by £5.114m.

As part of revisions to the Medium Term Financial Strategy (MTFS) during 2016/17 a forecast level of demand of 3.7% was built in to the budget, however this is higher than the increases in demand that are being experienced in the first quarter of 2017/18 that forms the basis of this forecast.

Further details of the forecast position for the service are shown below:

- **Residential Care:**  
The number of service users supported as at 30<sup>th</sup> June 2017 was 256 compared with 259 at the end of March 2017. This is a 1.17% decrease in the demand since March 2017. The average weekly package costs are currently £1,192 compared with £1,155 at the end of March 2017. This is a 3.2% increase in the price since March 2017. This information has formed the basis of the forecast outturn for this service area.
- **Nursing Care:**  
The number of service users as at 30<sup>th</sup> June 2017 was 14 which remains unchanged compared to the end of March 2017. The average weekly package costs are currently £1,124 compared with £1,018 at the end of March 2017. This is a 10.41% increase in the price seen in the previous year due to the impact of one high cost placement and has been used to support the forecast outturn for this service area.
- **Domiciliary Care:**  
The number of service users supported as at 30<sup>th</sup> June 2017 was 787 compared with 791 at the end of March 2017. This is a 0.51% decrease in the demand since March 2017. The average weekly package costs are currently £536 compared with £505 at the end of March 2017. This is a 6.13% increase in the price since March 2017. The forecast outturn has decreased by £3.039m compared with 2016/17 outturn, largely because the 2016/17 outturn included some payments to providers which are now forecast under Direct Payments.
- **Direct Payments:**  
The number of service users supported as at 30<sup>th</sup> June 2017 was 2,012 compared with 1,993 at the end of March 2017. This is a 0.95% increase in the demand compared to the end of March 2017. The average weekly package costs are currently £650 compared with £622 at the end of March 2017. This is a 4.50% increase in the price since March 2017.

It is also important to note that there has been an increase of 82 service users over last 12 months. The forecast outturn for 2017/18 has increased by £9.54m compared with to the outturn for 2016/17. This is due to increases in service user numbers and average weekly costs, and also the full year impact of fee increases, which were partly reserve funded in 2016/17 but have now been built into the budget as part of the MTFS process.

- An underspend is forecast relating to previously agreed TUPE costs of c£0.936m. This part of the budget relates to elements of staffing costs associated with the historic TUPE transfer of Lancashire Care Foundation Trust (LCFT) NHS staff delivering the services to the external provider market; i.e. LCC's ongoing financial commitment to fund staffing enhancements for unsociable working hours and NHS pensions.

- Transitions from Children's Services are estimated to be in the region of £1.5m in 2017-18, which is a similar value to the 2016/17 costs.
- The cost of rent/service void payments in 2016/17 totalled £0.866m, with a similar amount forecast for 2017/18. Work is being undertaken to investigate some properties where there are longstanding voids to see if the property can be sold or if a buy out from the Housing Management Agreement is possible.

The service is currently forecasting a shortfall in the achievement of savings relating to the work of the Review Team of £0.343m.

### **Mental Health Commissioned Care**

The Mental Health Service is forecast to underspend by £0.569m as detailed below:

- **Mental Health – Residential:**  
Mental Health residential care forecast an overspend of £0.434m. The number of service users supported as at June 2017 was 296 compared with 288 at the end of March 2017. This is a 2.7% increase in the demand compared to March 2017. The average weekly package costs were £917 as at the end of June 2017 compared with the £887 at the end of March 2017. This is a 3.4% increase in the price seen at the end of the previous year.
- **Mental Health – Nursing Homes:**  
Mental Health nursing homes forecast an underspend of £0.403m for the year. The number of service users supported as at June 2017 was 71 compared with 79 at the end of March 2017. This is a 10% decrease in the demand compared to March 2017. The average weekly package costs were currently £740 as at the end of June 2017 compared with £762 at the end of March 2017. This is a 3.0% decrease in the price compared to the end of March 2017.
- **Mental Health - Home Care:**  
Mental Health home care services forecast an underspend of £0.286m.
- **Mental Health – Direct Payments:**  
There is a forecast underspend of £0.471m on Direct Payments in 2017/18. The number of service users supported as at June 2017 was 234 compared with an average of 249 during 2017. This is a 6% decrease in the demand seen compared to March 2017. Income is forecast to increase compared with 2016/17.

In addition there are other small variances across Mental Health day services and block contracts that have resulted in a forecast overspend of £0.157m.

### **Learning Disability, Autism & Mental Health Staffing**

The forecast underspend on Mental Health and Learning, Disability, Autism staffing is £0.834m largely due to vacancies within Mental Health.

The forecast includes the following agreed application of non-recurrent reserve funding:

- Contribution of £0.865m from Risk Management Reserve to fund the review and remodelling teams.
- Contribution of £0.194m from Risk Management Reserve to mitigate against risks around DoLS- Deprivation of Liberty Safeguards.

### **3.1.4 Social Care Services (Adults)**

The Social Care Services (Adults) service forecast to overspend by £3.774m. The significant areas of variance are detailed below:

#### **Prevention**

Prevention includes services for carers, equipment and adaptations and reablement, and covers all of adult social care. Many of these services form part of and are funded via the improved Better Care Fund (iBCF)

The service has a forecast overspend for the year of £0.330m.

- The numbers of carers accessing direct payments in June 2017 has risen to 5,515 compared to 4,883 in March 2017, an increase of 12.94% compared to March 2017. The information has formed the basis of a forecast variance of £0.273m for this service.
- The number of service users with telecare has increased from 4,926 in March 2017 to 5,802 in June 2017, an increase of 17.78%, which would indicate that the target of 7,000 service users of this service by March 2018 will be achieved. The additional costs associated with the increase in numbers to 7,000 have been built into the forecast.

#### **Social Care Staffing**

The service forecast staffing costs to be on budget. A forecast contribution from reserves of £0.681m has been included within the forecast, as agreed, to support the interim staffing structure.

#### **Physical Support**

Changes in statutory reporting requirements has meant the previous client groups of 'Older People' and Adults with 'Physical Disability' have been combined to form the client group 'Physical Support'. People enter these services via from community settings but a significant proportion come via acute settings as they are discharged from hospital.

The service forecast an overspend for the year of £5.689m. The main reasons are highlighted below:

- The number of long term nursing placements has increased from 1,122 as at March 2017 to 1,195 as at 30<sup>th</sup> June 2017 which is an increase of 6.5%. The increase in numbers and higher than budgeted increases in placement costs has resulted in a forecast increase in net spend of £5.423m compared with

2016/17 outturn, and a forecast overspend of £4.145m against budget in 2017/18.

- The number of long term residential placements has increased from 3,324 as at March 2017 to 3,381 as at June 2017 which is an increase of 1.7%. There is a forecast overspend of £2.669m against budget in 2017/18.
- The number of weekly direct payments service users fell from 2,021 in March 2017 to 1,992 in June 2017, a decrease in demand of 1.4%. Forecast net expenditure on direct payments has fallen by £0.789m compared with 2016/17, with a forecast underspend of £1.626m in 2017/18.
- Domiciliary service user numbers fell slightly from 5,610 as at March 2017 to 5,581 as at June 2017, a decrease of 0.5%. Increases in package costs were broadly in line with agreed uplifts of 4.37%. The forecast overspend against budget is £0.591m.
- The current cashable budgeted savings for the Passport to Independence Programme over the period 2016/17 – 2019/20 totals £20.640m. By the end of 2017/18 the service has cumulative budgeted savings of £8.437m, however the profiling of the saving has now been revised with an anticipated saving of £5.606m expected to be achieved by the end of 2017/18. This delayed delivery is contributing to the overspends above.

The levels of cashable savings from the programme have recently been revised to £25.115m in total (to be achieved by 2021/22) based on current performance and have also been slightly reprofiled. This updated position has been reflected as part of the Quarter 1 Medium Term Financial Strategy (MTFS).

- Other small variances amount to a forecast underspend of £0.089m

### **Social Care Service Central Costs**

This covers central costs for all of Adult Social Care, and includes professional fees, insurance and Direct Payments support contracts

The service is forecasting an overspend of £0.126m for 2017/18.

The forecast includes the following planned application of non-recurrent reserve funding amounting to £2.105m.

- £1.431m for the agreed consultancy implementation work in relation to the passport to independence savings programme.
- £0.674m for the repayment of CCG balances held by LCC.

### **Supporting People**

The service is forecasting an underspend of £0.408m. Work is ongoing to finalise the 2017/18 commitments for domestic abuse refuges and homeless people with complex needs contracts which now form part of the £3.000m Prevention and Early Fund.



## 3.2 Operations and Delivery – Children's Services

| Ref   | HEAD OF SERVICE  | Approved Budget | Current Period Forecast Outturn | Current Period Forecast Variance | Current Period Forecast Variance |
|-------|--|-----------------|---------------------------------|----------------------------------|----------------------------------|
|       |  | £m              | £m                              | £m                               | %                                |
| 3.2.1 | CHILDREN'S SERVICES  | -1.214          | -1.640                          | -0.426                           | 35.09%                           |
| 3.2.2 | SEN & DISABILITY   | 16.418          | 15.159                          | -1.259                           | -7.67%                           |
| 3.2.3 | SAFEGUARDING INSPEC & AUDIT                                | 10.138          | 10.622                          | 0.484                            | 4.77%                            |
| 3.2.4 | ADOPTION & FOSTERING RESIDENTIAL AND YOT                   | 27.977          | 26.050                          | -1.927                           | -6.89%                           |
| 3.2.5 | CHILDREN SOCIAL CARE                                       | 91.843          | 92.871                          | 1.028                            | 1.12%                            |
| 3.2.6 | SCHOOL IMPROVEMENT   | 5.730           | 4.945                           | -0.785                           | -13.70%                          |
| 3.2.7 | LEARNING AND SKILLS SERVICE (TRADED SERVICES – START WELL) | -5.267          | -4.269                          | 0.998                            | -18.95%                          |
|       | <b>TOTAL - CHILDREN'S SERVICES</b>                         | <b>145.625</b>  | <b>143.738</b>                  | <b>-1.887</b>                    | <b>-1.30%</b>                    |

The total net approved budget for Children's Services for 2017/18 is £145.625m. As at the end of Quarter 1, the service is forecast to underspend by £1.887m. The 2017/18 budgets for Children's Social Care related services have increased by £23.181m in 2017/18, of which £22.330m is to reflect growth in demand for placements and allowances.

### 3.2.1 Children's Services

Children's Services is forecast to underspend by £0.426m in 2017/18.

- Forecast underspends of £0.333m relate to Premature Retirement Costs (PRC) for schools based staff. Expenditure is not anticipated to be as high as in 2016/17 which included the impact of a specific school closure.
- Forecast underspends of £0.093m relate to Children's Services Central Costs which is anticipated to not be required in future years and will be included within the revised MTFS at Quarter 1.

### 3.2.2 Special Education Needs and Disability (SEND)

Special Education Needs and Disability (SEND) is forecast to underspend by £1.259m in 2017/18.

- Children with Disabilities (CwD) Family Support is forecast to overspend by £0.156m.

- CwD agency placements which includes in house fostering payments and residential and foster care placements with external providers is forecast to underspend by £0.133m.
- CwD Direct Payments is forecast to underspend by £0.374m due to clawback of previous payments and the implementation of tighter controls following a review of payments.
- The SEND Provision and Performance Team is forecast to underspend by £0.581m of which £0.550m relates to staff costs and £0.031m to non-staff costs.
- Forecast underspends of £0.234m relate to staff costs and £0.093m to non-staff costs across a number of other teams.

The forecast includes the application of non-recurrent funding of £0.200m from the SEND Reform/Implementation reserve.

### **3.2.3 Safeguarding, Inspection and Audit**

Safeguarding, Inspection and Audit (SIA) is forecast to overspend by £0.484m in 2017/18.

Forecast overspends of £0.469m relate to staff costs and £0.214m to non-staff costs across the service and in particular to vacant social worker posts covered by agency staff. This is offset by forecast underspends of £0.199m relating to the over achievement of income resulting from the successful introduction during 2016/17 of the schools safeguarding support for which schools subscribe.

The forecast includes the application of non-recurrent funding of £0.083m from the Lancashire Safeguarding Children's Board Reserve to fund work agreed by the Board during 2017/18.

### **3.2.4 Adoption, Fostering Residential and YOT**

Adoption, Fostering, Residential and YOT is forecast to underspend by £1.927m in 2017/18.

- Adoption Service is forecast to underspend by £0.333m. Of this underspends of £0.272m relate to staff vacancies and £0.079m to non-staff costs, offset by overspends of £0.018m on the Adoption Support Fund.
- The Fostering Service is forecast to underspend by £0.873m. Of this underspends of £0.759m relates to foster care allowances. The budget was increased in 2017/18 based on increases in demand seen in previous years, however, at this point in the financial year the anticipated increase in demand has not materialised. Forecast underspends of £0.124m relate to staff costs offset by overspends of £0.010m on non-staff costs.
- Residential In-House Provision is forecast to underspend by £0.571m which predominantly relates to staff costs. The budget includes full year provision for the planned opening of The Bungalow as a high complex unit, however, a date



for opening has not been confirmed pending the completion of refurbishment works.

- Forecast underspends by £0.150m relate to other service areas of which £0.100m relates to staff costs and £0.050 to non-staff costs.

The forecast includes the application of non-recurrent funding of £0.018m from the YOT (Youth Offending Team) – General Youth Offending Reserve to cover the cost of projects approved by the Youth Justice Board.

### **3.2.5 Children's Social Care**

Children's Social Care is forecast to overspend by £1.029m in 2017/18. It is important to note that in 2016/17 significant pressures were experienced relating to agency placements in residential and fostering with additional budget built into the MTFS from 2017/18. The current forecast for these areas is to break even with no variance projected.

- Forecast overspends of £0.781m relate to Social Work Staff and CSC Management.
  - Forecast overspends of £0.583m relate to staff costs (including car allowances) which includes agency staff covering vacant posts, additional temporary staff required in 2017/18 to increase capacity in children's social care and to support the development and implementation of a single operating model across Children's Services.
  - Forecast overspends of £0.199m relate to non-staff costs and expenses arising as a result of work in response to the Ofsted inspection.
- Family support which covers Special Guardianship Orders (SGO's), Child Arrangement Orders (CAO's), assistance to families and other payments are forecast to overspend by £1.324m. Forecast overspends of £1.045m relate to assistance to families and other payments and £0.412m to increases in the number of SGO's, offset by forecast underspends of £0.133m on CAO's.
- Forecast underspends of £0.318m relate to Leaving Care Allowances which is line with 2016/17 outturn.
- Forecast underspends of £0.487m relate to staying put placement costs. Whilst the budget assumes that Staying Put Implementation Grant would not be received in 2017/18, it has been confirmed that the grant will be paid this year.
- Forecast underspends of £0.193m relate to other placement costs, in particular remand placements.
- Forecast underspends of £0.078m on other children's social care costs largely relate to Disclosure Barring Services (DBS) checks and is in line with the outturn in 2016/17.

The forecast includes the following application of non-recurrent funding:

- Contribution of £0.500m from the Transitional Reserve to cover the cost of the Supporting People within Children Services.
- Contribution of £0.090m from the Transitional Reserve to cover the cost of the Council Tax Support Grant for Care Leavers.

### **3.2.6 School Improvement**

School Improvement is forecast to underspend by £0.785m in 2017/18.

- Forecast underspends of £0.951m relate to staff costs across the service (excluding Hospital Provision which is funded from Dedicated Schools Grant) and are largely due to vacancies as the service moves towards implementation of its new structure.
- Forecast overspends of £0.181m relate to non-staff costs which includes £0.282m for charges from schools for Associate Advisers.
- A positive variance of £0.015m relates to the over achievement of income.

### **3.2.7 Learning and Skills Service (Traded Services - Start Well)**

Learning and Skills Service (Traded Services – Start Well) is forecast to overspend by £0.998m in 2017/18. This represents a contribution to overheads and corporate budgets of £4.269m.

- School Catering is forecast to overspend by £0.566m in 2017/18. The budget reflects an additional increase in the income target of £2.000m as a result of the zero based budget review. The forecast reflects that there is a reduction in trade days in 2017/18 compared to 2016/17, an increase in food costs which is linked to the value of sterling and the impact of Brexit, and the harsh winter has affected crops in parts of Europe thus reducing availability of supplies.
- Outdoor Education is forecast to overspend by £0.190m as a result of the closure of Whitehough. Expenditure continues to be incurred pending the completion of the asset transfer. Whilst costs across the service have reduced following the closure of the centre, the transfer of customers from Whitehough to other LCC outdoor education centres, which was assumed in the savings proposal, has not materialised with the service reviewing alternative actions to achieve the savings.
- The remainder of the service is forecast to overspend by £0.242m of which overspends of £0.341m relate to non-staff costs and £0.226m to under recovery of income, offset by forecast underspends on staff costs of £0.325m. Mitigating actions planned in 2017/18 will assist in recouping lost trade by better meeting demand from schools in terms of delivery locations.

The forecast includes a planned application of non-recurrent funding of £0.300m from the Schools Catering Repairs and Maintenance reserve to cover ICT implementation costs in school kitchens. The forecast also includes contributions of £0.090m of

monies received from schools to the Schools Catering Repair and Maintenance reserve for planned and reactive repairs and maintenance.

### 3.3 Operations and Delivery – Community Services

| Ref   | HEAD OF SERVICE                        | Approved Budget | Current Period Forecast Outturn | Current Period Forecast Variance | Current Period Forecast Variance |
|-------|--|-----------------|---------------------------------|----------------------------------|----------------------------------|
|       |  | £m              | £m                              | £m                               | %                                |
| 3.3.1 | CUSTOMER ACCESS                        | 3.781           | 3.553                           | -0.228                           | -6.03%                           |
| 3.3.2 | HIGHWAYS                               | 17.975          | 15.049                          | -2.926                           | -16.28%                          |
| 3.3.3 | LIBRARIES MUSEUMS CULTURE & REGISTRARS | 5.777           | 8.384                           | 2.607                            | 45.13%                           |
| 3.3.4 | PUBLIC & INTEGRATED TRANSPORT          | 40.926          | 43.682                          | 2.756                            | 6.73%                            |
| 3.3.5 | WASTE MGT                              | 64.820          | 64.647                          | -0.173                           | -0.27%                           |
|       | <b>TOTAL - COMMUNITY SERVICES</b>      | <b>133.279</b>  | <b>135.315</b>                  | <b>2.036</b>                     | <b>1.53%</b>                     |

The total approved net budget for Community Services in 2017/18 is £133.279m. As at the end of Quarter 1 Community Services is forecast to overspend by £2.036m in 2017/18.

#### 3.3.1 Customer Access

Customer Access is forecast to underspend by £0.228m in 2017/18. The underspend relates to staff vacancies as a result of delays in recruiting to vacant posts. There is an expectation within the service that a new rolling recruitment program will go some way to address the issues and this will be kept under review in 2017/18 as part of the budget monitoring process.

#### 3.3.2 Highways

Highways is forecast to underspend by £2.926m in 2017/18

- Forecast underspends of £0.226m relate to permit scheme income across highways which includes traffic regulation orders and charges to utilities companies for breaching codes of practice, delays in work and road closures. Additional income was seen in the outturn for 2015/16 and 2016/17 and as a result part of the savings strategy was to increase these income targets in the 2016/17 and 2017/18 budget. However, these targets are still expected to be exceeded during the course of the year. This is largely due to fee increases and the fact that these increases have not resulted in a significant reduction in utilities companies' activity.
- An underspend of £2.700m is forecast relating to a budgeted revenue contribution to capital (RCCO's) of £2.700m for repairing structural defects. This amount will now be funded from borrowing.

### 3.3.3 Libraries, Museums, Culture and Registrars

Libraries, Museums, Cultural Services and Registrars (LMCR) is forecast to overspend by £2.607m in 2017/18.

- Cultural Services Museums is forecast to overspend by £0.548m. Following the closure to the public of 5 museums from October 2016, it is expected that the remaining 6 museums will be self-financing, with the exception of Gawthorpe Hall for which there is a recurring annual budget of circa £0.140m. Of the 5 museums which closed, the forecast reflects the fact that 3 of the museums are planned to transfer to other organisations on 1st October 2017/18 (as at end of June 2017) and until then the County Council will incur care and maintenance costs, and that the 2 museums (mills) whose future is still to be determined remain open for schools visits and guided tours of over 10 people and as such the County Council will incur running costs for the full year net of income generated. Given that negotiations to transfer museums are ongoing and the future of 2 of the museums is still to be determined, the forecast position may change over the remainder of the financial year as further decisions are made and transfer arrangements confirmed.
- County Libraries are forecast to overspend by £1.944m which relates to non-delivery/delayed delivery of savings previously agreed. It is important to note that property running costs have been centralised, and therefore a budget pressure of £0.520m has transferred to Facilities Management relating to Libraries running cost savings that have not been achieved (but this does not form part of the £1.944m overspend reported above).
- The Registration Service is forecast to underspend by £0.100m which relates to income targets being exceeded.
- Forecast overspends of £0.214m on staff costs relate to the remainder of the service in particular under recovery of income by the Conservation and Collections Team.

The budget for LMCR includes approved budget savings of £1.701m in 2017/18 (excluding premises related savings which have transferred to Facilities Management) which are forecast not to be achieved and have been included within the MTFs at Quarter 1. The forecast reflects the approved application of non-recurrent funding of £0.247m from the Transitional Reserve to fund Art Grants to outside bodies to support the achievement of future savings.

The forecast also includes the following planned application of non-recurrent funding from reserves:

- Contribution of £0.108m from the Transitional Reserve to cover pay protection costs following restructures.
- Contribution of £0.207m from the Transitional Reserve to be paid to the Museum of Lancashire Regimental Consortium to cover income shortfalls projected in the first 4 years of operation whilst the consortium moves towards generating an operating surplus.

### 3.3.4 Public & Integrated Transport

Public and Integrated Transport is forecast to overspend by £2.756m in 2017/18.

- Public Transport Initiatives is forecast to overspend by £0.388m. This relates to lower than budgeted income for the Todmorden Curve New Rail Scheme. Whilst demand levels (passenger numbers) appear to be in line with the ramp up period predictions, revenues are lower than expected due to discounted fares with student rather than commuter full price fares accounting for the bulk of sales. The service is due to transfer to Northern Rail in June 2018 following which the County Council will cease to be financially liable for the service. It is expected to cost £0.055m in 2018/19 for the first two months of the year.
- Integrated Transport Travelcare is forecast to overspend by £3.938m.
  - An overspend is forecast in relation to the travel to day care service as it has not been possible to date to transfer as many passengers from taxis to Travelcare buses as anticipated resulting in a forecast overspend of £0.346m.
  - Savings of £2.173m in 2016/17 relate to transport for children and young people with special educational needs (SEN). Of this saving £0.500m related to staffing and has been achieved. The remaining £1.673m is still to be delivered, as it has not been possible to deliver the saving in the way originally planned. The service have therefore looked at alternative ways to achieve the remaining savings target including Independent Travel Training (to give the children the skills to travel independently), route reviews to reduce costs where possible and one drop off and pick up per day for young people attending college. It is anticipated that savings will start to be made in September 2017 and £0.252m will be achieved in 2017/18 resulting in forecast overspends of £1.421m in 2017/18 which will reduce in future years as savings are realised.
  - Forecast overspends of £1.140m have resulted from a review of regulations and clarification regarding eligible expenditure which can be funded from Dedicated Schools Grant. This will be adjusted for in the MTFs from 2018/19.
  - The service is also facing significant additional demand due to increases in the number of excluded pupils and special educational needs (SEN) college pupils requiring transport since September 2016 resulting in forecast overspends of £0.634m. This will be kept under review particularly as we approach September and the commencement of the new academic year.
  - Non-recurrent overspends of £0.397m relate to taxi costs for the previous financial year which were not accrued for in 2016/17 due to the assumptions made. This has been reviewed to ensure this does not occur again at year end 2017/18.



- No variance from budget if forecast for Public Transport School Transport. The agreed saving of £0.424m for 2016/17 and 2017/18 is not achievable in the way originally planned because denominational transport services cannot cease until September 2018 at the earliest. However, this is offset by efficiencies made by rationalising the number of services and increased income based on income received in 2016/17.
- Community transport and tendered network bus services are forecast to underspend by £1.559m which relates to the receipt of Bus Service Operators Grant (BSOG) in 2017/18 which was not expected.
- Various other overspends of £0.386m relate to the remainder of the service.

The outturn includes the following planned application of non-recurrent funding from reserves.

- Contribution of £0.329m from the Public Transport Consortium Reserve to pay to the Lancashire Community Transport consortium.
- Contribution of £0.500m from the Transitional Reserve to cover the travel costs for young people not in education, employment or training (NEET).
- Contribution of £0.756m of Bus Service Operators Grant (BSOG) from transport reserves to fund shortfalls arising from the phased introduction of departure charges at bus stations.
- Contribution of £0.018m from the Transitional Reserve to fund the costs of pay protection following restructure.

### **3.3.5 Waste Management**

Waste Management is forecast to underspend by £0.173m in 2017/18.

- Forecast underspends of £1.573m relate to waste arisings that are forecast as 3.2% for 2017/18 based on current data available. At the time of setting the budget waste arisings were forecast to be 5.4% per annum, therefore the budget that was provided is not required due to the reduced forecast based on actual waste arisings from the last quarter of 2016/17 and the first quarter of 2017/18.
- Forecast overspends of £0.566m relate to lower than budgeted demand for Refuse Derived Fuel (RDF) supply, reduced waste processing activities and higher than budgeted prices for RDF diverted away from landfill.
- Forecast underspends of £0.404m relate to the operating and lifecycle costs of the waste recovery parks.
- Forecast underspends of £0.191m relate to lower insurance costs at the waste recovery parks as a result of revaluing assets. The saving will be increase in 2018/19 to c£1.000m as the lower premium applies from July 2017. The forecast includes a one-off transfer of £0.438m to reserves to cover the increased excess on the renegotiated insurance policy.

- Forecast non-recurring overspends of £0.280m relate to anticipated costs in preparing for the transfer of the running of household waste recycling centres in-house from April 2018, during 2017/18.
- Forecast underspends of £0.351m relate to a number of items across the remainder of the service including transfer stations, household waste recycling centres and green waste.
- The Waste Management Service was given a savings target of £1.500m in 2017/18 which was however superseded by a further agreed budget saving relating to the Waste PFI (BOP 046) and is therefore an undeliverable saving and has been built back into the MTFS at Quarter 1.

The forecast includes the following planned application of non-recurrent funding from reserves and contributions to reserves.

- Contribution of £10.254m from the Transitional Reserve to cover the cost of payments to District Councils under cost sharing arrangements.
- Contribution of £0.438m to the Risk Management Reserve to cover the cost of the excess for the renegotiated insurance policy for the waste recovery parks.



### 3.4 Operations and Delivery – Public Health and Wellbeing Services

| Ref   | HEAD OF SERVICE                         | Approved Budget | Current Period Forecast Outturn | Current Period Forecast Variance | Current Period Forecast Variance |
|-------|---|-----------------|---------------------------------|----------------------------------|----------------------------------|
|       |   | £m              | £m                              | £m                               | %                                |
| 3.4.1 | PUBLIC HEALTH & WELLBEING               | -69.709         | -69.723                         | -0.014                           | -0.02%                           |
| 3.4.2 | PATIENT SAFETY & QUALITY IMPROVEMENT    | 4.855           | 4.874                           | 0.019                            | 0.39%                            |
| 3.4.3 | HEALTH EQUITY WELFARE & PARTNERSHIPS    | 66.629          | 66.600                          | -0.029                           | -0.04%                           |
| 3.4.4 | WELLBEING PREVENTION & EARLY HELP       | 14.904          | 13.845                          | -1.059                           | -7.11%                           |
| 3.4.5 | HEALTH, SAFETY & RESILIENCE             | 1.036           | 0.780                           | -0.256                           | -24.71%                          |
| 3.4.6 | TRADING STANDARDS & SCIENTIFIC SERVICES | 2.822           | 2.941                           | 0.119                            | 4.22%                            |
|       | <b>TOTAL - PUBLIC HEALTH</b>            | <b>20.537</b>   | <b>19.317</b>                   | <b>-1.220</b>                    | <b>-5.94%</b>                    |

The total net revised budget for Public Health & Wellbeing Services in 2017/18 is £20.537m. The service is forecast to underspend by £1.220m.

#### 3.4.2 Patient Safety & Quality Improvement

Patient Safety & Quality Improvement is not forecasting a significant variance for 2017/18.

The budget for Patient Safety & Quality Improvement services includes budget savings of £0.075m in 2017/18 which are forecast to be achieved.

The forecast includes the following planned application of non-recurrent funding:

- Contribution of £0.108m from the Public Health Reserve in relation to the Steady On falls prevention strategy.
- Contribution of £0.014m from the Transitional Reserve in relation to pay protection.

#### 3.4.3 Health Equity, Welfare & Partnerships

Health Equity, Welfare & Partnerships is not forecasting a significant variance at Quarter 1.

The budget for Health Equity, Welfare & Partnerships includes approved budget savings of £3.910m of this £1.300m is forecast not to be achieved in 2017/18 and is an in-year pressure off-set by other service area underspends which the service are forecasting to be achieved in 2018/19.

The forecast includes the following planned application of non-recurrent reserve funding:

- Contribution of £0.026m from the Transitional Reserve in relation to pay protection.
- Contribution of £0.500m from the Transitional Reserve in relation to utilisation of the planned underspend from the 2016/17 Prevention and Early Help Fund budget on the development of commissioning intentions and re-procurement of services for homeless households with complex needs.
- Contribution of £0.020m from the Waste General Reserve in relation to funding equipment for a local organisation.
- Contribution of £1.092m from the Public Health Reserve in relation to unspent specific grant funding rolled forward to be utilised in 2017/18.

#### **3.4.4 Wellbeing, Prevention & Early Help**

Wellbeing, Prevention and Early Help is forecast to underspend by £1.059m.

The forecast includes an under recovery of income targets for Troubled Families of £0.308m based on current performance against the payment by results (PBR) element of the National Troubled Families Programme.

In addition staffing is forecast to underspend £1.367m, due to staff vacancies. Included in the forecast are 57 fte vacancies, which the Service have indicated are planned to be filled by September 2017 with 26 fte posts remaining vacant for the remaining part of the year.

The forecast includes the following planned application of non-recurrent reserve funding:

- Contribution of £0.111m from the Public Health Reserve in respect to the YPS Small Grants Service.
- Contribution of £0.131m to the CYP DFM Reserve in respect of the troubled families unit to fund the unit's staff costs going forward.
- Contribution of £0.162m from the Transitional Reserve in respect to pay protection.

#### **3.4.5 Health, Safety & Resilience**

Health, Safety & Resilience is forecast to underspend by £0.256m.

The service is forecasting additional income from schools purchasing the Health and Safety services of £0.035m. Emergency Planning is also generating further fee income of £0.035m. In addition underspends on operational costs of £0.186m, through no none essential spending, are forecast.

The forecast includes £0.029m planned application of non-recurrent reserve funding:

- Contribution of £0.025m from the Emergency Planning Reserve in relation to DEFRA funding for communications work such as the flood campaigns.
- Contribution of £0.004m from the Transitional Reserve in relation to pay protection.

### **3.4.6 Trading Standards & Scientific Services**

Trading Standards & Scientific Services is forecast to overspend by £0.119m.

The variance is predominantly as a result of a shortfall in grant levels for Scientific Services that has been included within the MTFS.

The forecast includes the following planned application of non-recurrent reserve funding:

- Contribution of £0.045m to the Financial Investigations Reserve to reinvest proceeds from financial investigations into asset recovery work to drive up performance and to fund local crime fighting priorities for the benefit of the community delivered via the service.
- Contribution of £0.039m from the Transitional Reserve in relation to pay protection.
- Contribution of £0.006m from the Improved Outcomes Partnership Monies Reserve in relation alcohol, tobacco, and drugs misuse work.

### 3.5 Development and Corporate Services

| Ref    | HEAD OF SERVICE                          | Approved Budget | Current Period Forecast Outturn | Current Period Forecast Variance | Current Period Forecast Variance |
|--------|--|-----------------|---------------------------------|----------------------------------|----------------------------------|
|        |  | £m              | £m                              | £m                               | %                                |
| 3.5.1  | CORE BUSINESS SYSTEMS TRANSFORMATION     | 22.736          | 23.952                          | 1.216                            | 5.35%                            |
| 3.5.2  | FACILITIES MGT                           | 15.831          | 17.809                          | 1.978                            | 12.49%                           |
| 3.5.3  | HUMAN RESOURCES                          | 0.972           | 0.656                           | -0.316                           | -32.51%                          |
| 3.5.4  | ECONOMIC DEVELOPMENT                     | 0.425           | 0.380                           | -0.045                           | -10.59%                          |
| 3.5.5  | BUSINESS GROWTH                          | 0.081           | 0.086                           | 0.005                            | 6.17%                            |
| 3.5.6  | LEP COORDINATION                         | 0.000           | 0.000                           | 0.000                            | N/A                              |
| 3.5.7  | STRATEGIC ECONOMIC DEVELOPMENT           | 0.000           | 0.003                           | 0.003                            | N/A                              |
| 3.5.8  | DESIGN and CONSTRUCTION                  | -2.361          | -1.423                          | 0.938                            | 39.73%                           |
| 3.5.9  | ESTATES                                  | 0.517           | 0.517                           | 0.000                            | 0.00%                            |
| 3.5.10 | PLANNING AND ENVIRONMENT                 | 1.506           | 1.120                           | -0.386                           | -25.63%                          |
| 3.5.11 | PROGRAMME OFFICE                         | -0.022          | 0.401                           | 0.423                            | 1922.73%                         |
| 3.5.12 | SKILLS LEARNING & DEVELOPMENT            | 3.234           | 2.951                           | -0.283                           | -8.75%                           |
|        | <b>TOTAL - DEVELOPMENT AND CORPORATE</b> | <b>42.919</b>   | <b>46.452</b>                   | <b>3.533</b>                     | <b>8.23%</b>                     |

The total net approved budget for Development and Corporate Services in 2017/18 is £42.919m. As at the end of Quarter 1 Development and Corporate Services is forecast to overspend by £3.533m.

#### 3.5.1 Core Business Systems/Transformation

Core Business Systems/Transformation is forecast to overspend by £1.216m in 2017/18.

- Forecast overspends relate to under achievement of £0.545m of savings against the £2.000m savings target in 2017/18. Other areas of savings have been identified to bridge this gap and will be reflected in the monitoring once implementation and delivery timescales are identified these start to be

delivered thereby it is anticipated the forecast overspend will decrease over the financial year.

- Forecast overspends of £0.436m relate to the under recovery of income for payroll services and income relating to printing and mail charges as a result of a drive to reduce printing activity and costs. This under recovery is however offset by savings within individual service budgets for printing. In addition to this, there is a one off overspend of £0.273m that relates to costs for the previous financial year that were not accrued for.
- Forecast underspends of £0.038m relate to a number of other smaller areas.

The budget for Core Business Systems/Transformation includes approved budget savings of £2.101m. The forecast reflects the achievement of some of these savings as discussed above.

### **3.5.2 Facilities Management**

Facilities Management is forecast to overspend by £1.978m in 2017/18.

The forecast is based upon having centralised property running costs budgets under Facilities Management. It also includes the transfer of repair and maintenance and land not in operational use budgets into Facilities Management.

The property running costs budgets have been recalculated by individual building, using 2016/17 outturn as the basis to realign budgets to more accurately reflect running costs.

The budget for Facilities Management includes approved budget savings of £4.708m and £2.000m of approved application of non-recurrent reserve funding from the Transitional Reserve.

There is a specific budget saving of £5.000m (included in the paragraph above) to be saved on the property portfolio which is partly offset in 2017/18 by the approved application of non-recurrent funding of £2.000m from the Transitional Reserve in 2017/18. It has been identified that £1.542m of the 2017/18 saving is undeliverable and has therefore has been built in to the MTFS at Quarter 1.

### **3.5.3 Human Resources**

Human Resources is forecast to underspend by £0.316m in 2017/18.

The underspend position is predominantly the result of additional income generation against budget with less significant underspends achieved across staffing and other expenditure budgets.

The budget for Human Resources includes savings of £0.319m with approved support from the Transitional Reserve of £0.289m. Due to early delivery of some savings a reduced amount of £0.225m is forecast to be drawn down from the Transitional Reserve.

It is important to note that the Lancashire Teaching Agency budget, which operates on a cost recovery basis, was moved from Traded Services (Start Well) to within the Human Resources budget at the beginning of 2017/18.

#### **3.5.4 Economic Development**

#### **3.5.5 Business Growth**

#### **3.5.6 LEP Coordination**

#### **3.5.7 Strategic Economic Development**

There is no significant variation from budget forecast for Economic Development (covering of the above services) in 2017/18.

The outturn includes the following application of non-recurrent funding from reserves.

- Estimated contribution of £0.730m from the Strategic Investment Reserve relating to the BOOST project for Strategic Economic Development and Infrastructure. This is match funding a DCLG contribution to a three year project.
- Contribution of £0.050m from the Transitional Reserve for to the Schools Advisory Network. This is match funding a contribution from the Careers and Enterprise Company.
- Contribution of £0.650m from the Transitional Reserve to fund transitional arrangements to achieve budget savings from 2016/17.

#### **3.5.9 Design and Construction**

Design and Construction is forecast to overspend by £0.938m in 2017/18.

- Under recovery of income for property work of £1.238m which relates to a number of different factors including a reduction in the amount of work done for schools under the Prop scheme. There has been a reduction in the number of schools buying into the scheme and those that are still in the scheme are contributing less towards planned work. Schools have also reduced the amount of their Devolved Formula Capital (DFC) funding that they are using for property related work.
- The under recovery of income relating to property work is partly offset by projected under spends of £0.300m relating to the combination of staff and agency costs. The service flexes staff resources, particularly the use of agency staff depending on the projects that are being delivered. In 2017/18 there are a higher number of smaller projects being delivered which tend to require a greater degree of staff involvement so whilst there is a reduction in staff costs it is not a similar level to the reduction in income.

The forecast includes the following transfers from reserves

- Contribution of £6.401m from the Schools Prop Reserve to cover the cost of schools repairs.
- Contribution of £0.020m from the Transitional Reserve to cover the cost of pay protection following service restructure.

### **3.5.11 Planning and Environment**

The Planning and Environment Service is forecast to underspend by £0.386m in 2017/18.

- Forecast underspends of £0.176m are non-recurring and relate to the impact in 2017/18 of an over accrual in 2016/17.
- Forecast underspends of £0.210m relates to over achievement of income by the Master Planning Team.

The budget for Planning and Environment includes approved budget savings of £0.013m and the forecast reflects the approved application of non-recurrent funding of £0.304m from the Transitional Reserve to cover the cost of the phased reduction in countryside services over 2016/17 and 2017/18.

### **3.5.12 Programme Office**

The Programme Office is forecasting to overspend by £0.423m in 2017/18. The service aims to operate with a model of staff recovering income for the project work they complete, however the staff are still engaged in work that does not generate income therefore resulting in an overspend.

The budget contains savings of £0.861m which it was agreed would be funded from the Transitional Reserve in 2017/18. As part of this forecast the full amount has been forecast to be drawn down.

### **3.5.13 Skills, Learning and Development**

Skills, Learning and Development is forecast to underspend by £0.283m in 2017/18 of which £0.185m relates to staffing, £0.193m to training costs offset by forecast under recovery of income of £0.094m.

The forecast includes the following planned application of non-recurrent funding from reserves.

- Contribution of £0.243m from the Strategic Investment Reserve to cover the costs of the Ex Service Personnel Mentoring in Schools.
- Contribution of £1.346m from the Transitional Reserve to cover the cost of approved apprentices and graduates programme.



### 3.6 Commissioning Services

| Ref    | HEAD OF SERVICE                                  | Approved Budget | Current Period Forecast Outturn | Current Period Forecast Variance | Current Period Forecast Variance |
|--------|--|-----------------|---------------------------------|----------------------------------|----------------------------------|
|        |  | £m              | £m                              | £m                               | %                                |
| 3.6.1  | ASSET MGT  | 10.158          | 8.362                           | -1.796                           | -17.68%                          |
| 3.6.2  | POLICY INFO & COMMISSIONING AGE WELL             | 0.521           | 0.521                           | 0.000                            | 0.00%                            |
| 3.6.3  | POLICY INFO & COMMISSIONING LIVE WELL            | 0.543           | 0.543                           | 0.000                            | 0.00%                            |
| 3.6.4  | POLICY INFO & COMMISSIONING START WELL           | 0.456           | 0.456                           | 0.000                            | 0.00%                            |
| 3.6.5  | PROCUREMENT                                      | 1.297           | 1.292                           | -0.005                           | -0.38%                           |
| 3.6.6  | BUSINESS INTELLIGENCE                            | 0.787           | 0.724                           | -0.063                           | -8.01%                           |
| 3.6.7  | EXCHEQUER SERVICES                               | 2.778           | 2.566                           | -0.212                           | -7.63%                           |
| 3.6.8  | FINANCIAL MGT (DEVELOPMENT AND SCHOOLS)          | 0.261           | 0.261                           | 0.000                            | 0.00%                            |
| 3.6.9  | FINANCIAL MGT (OPERATIONAL)                      | 1.820           | 1.720                           | -0.100                           | -5.49%                           |
| 3.6.10 | OFFICE OF THE POLICE AND CRIME COMMISSIONER TRES | -0.010          | -0.010                          | 0.000                            | 0.00%                            |
| 3.6.11 | CORPORATE FINANCE                                | 4.933           | 4.933                           | 0.000                            | 0.00%                            |
| 3.6.12 | CORONER'S SERVICE                                | 2.878           | 3.033                           | 0.155                            | 5.39%                            |
| 3.6.13 | INTERNAL AUDIT                                   | 0.694           | 0.676                           | -0.018                           | -2.59%                           |
| 3.6.14 | LEGAL AND DEMOCRATIC SERVICES                    | 13.177          | 13.189                          | 0.012                            | 0.09%                            |
|        | <b>TOTAL - COMMISSIONING</b>                     | <b>40.293</b>   | <b>38.266</b>                   | <b>-2.027</b>                    | <b>5.03%</b>                     |

The total net approved budget for Commissioning Services in 2017/18 is £40.293m with the service forecasting a £2.027m underspend.

#### 3.6.1 Asset Management

Asset Management is forecast to underspend by £1.796m in 2017/18:

- Forecast underspends of £0.232m are non-recurring and relate to utility recharges to schools. Invoices were paid by asset management in 2016/17 but it was not possible due to the timing of those invoices to recharge these costs to schools.



- Forecast underspends of £0.500m relate to the Asset Management of Properties including Building Schools for the Future (BSF). This is partly due to some capital funding being available to cover some expenditure and to a review of the demands which has confirmed a recurring underspend.
- Forecast underspends of £0.783m relate to street lighting energy. The County Council contributed a £5.000m of capital investment along with the DfT Challenge Fund grant to undertake a large scale replacement of existing less efficient sodium vapour lanterns with LED energy efficient lanterns which has resulted in reductions in energy consumption.
- Forecast underspends of £0.308m relates to highways asset management expenditure where a review of demands has confirmed a recurring underspend.
- Forecast overspends of £0.027m relate to the remainder of the service.

The forecast includes the following transfers to and from reserves

- Contribution from the Schools PFI Reserves of £0.079m and a contribution to the PFI Building Schools for the Future (BSF) Reserve of £0.850m to fund BSF PFI costs over the life of the BSF contracts.
- Contribution from the Transitional Reserve of £0.612m to fund the one-off payments to Schools Based Children's Centres.

### **3.6.2 Policy, Information and Commissioning Age Well**

### **3.6.3 Policy, Information and Commissioning Live Well**

### **3.6.4 Policy, Information and Commissioning Start Well**

There is not a significant variance forecast from budget for the Policy, Information and Commissioning Teams for Start Well, Live Well and Age Well in 2017/18.

The budget for Policy, Information and Commissioning includes approved budget savings of £1.373m which is offset by the application of non-recurrent reserve funding of £0.298m from the Transitional Reserve. This reflects early delivery of savings.

### **3.6.5 Procurement**

The Procurement Service is not reporting a significant variance at Quarter 1.

The budget for Procurement includes approved budget savings of £0.476m which is offset by the application of non-recurrent reserve funding of £0.420m from the Transitional Reserve. This reflects early delivery of savings.

### **3.6.6 Business Intelligence**

No significant variance from budget is forecast for Business Intelligence in 2017/18.

The budget for Business Intelligence includes approved budget savings of £0.548m which is offset by the application of non-recurrent reserve funding of £0.378m from the Transitional Reserve. This reflects early delivery of savings.

- 3.6.7 Exchequer Services**
- 3.6.8 Financial Management (Development and Schools)**
- 3.6.9 Financial Management (Operational)**
- 3.6.10 Office of the Police and Crime Commissioner Treasurer**
- 3.6.11 Corporate Finance**

Financial Resources (covering all of the above services) is forecast to underspend by £0.312m in 2017/18, which relates to mainly to staff vacancies.

#### **3.6.12 Coroners**

The Coroner's Service is currently forecasting to overspend by £0.155m in 2017/18.

The current anticipated overspend is indicative of the uncertainty within the service at this time of the full extent of the savings when set against the historic level of costs from the SLA with Blackburn with Darwen. The SLA with Blackpool remains in place and is expected to overspend. Work will continue over the year to monitor this situation and refine and improve the forecast position.

### 3.7 Chief Executive Services

| Ref   | HEAD OF SERVICE                                | Approved Budget<br>£m | Current Period Forecast Outturn<br>£m | Current Period Forecast Variance<br>£m | Current Period Forecast Variance<br>% |
|-------|--|-----------------------|---------------------------------------|--|---------------------------------------|
| 3.7.1 | CHIEF EXECUTIVE SERVICES                       | 1.247                 | 0.164                                 | -1.083                                 | -86.85%                               |
| 3.7.2 | SERVICE COMMUNICATIONS                         | 0.830                 | 0.687                                 | -0.143                                 | -17.23%                               |
| 3.7.3 | LARGE SPECIFIC GRANTS TO SUPPORT THE AUTHORITY | -7.784                | -7.784                                | 0.000                                  | 0.00%                                 |
| 3.7.4 | NON SERVICE ISSUES CORPORATE BUDGETS           | 6.809                 | 2.719                                 | -4.090                                 | -60.07%                               |
| 3.7.5 | BUSINESS SUPPORT                               | 0.000                 | 0.000                                 | 0.000                                  | 0.00%                                 |
|       | <b>TOTAL - CHIEF EXECUTIVE</b>                 | <b>1.102</b>          | <b>-4.213</b>                         | <b>-5.316</b>                          | <b>-482.40%</b>                       |

The total net approved budget for Chief Executive Services in 2017/18 is £1.102m with the service forecasting a £5.316m underspend.

#### 3.7.1 Chief Executive Services

Chief Executive Services is forecast to underspend by £1.083m in 2017/18.

The underspend relates to a surplus on staff budgets across the authority that were identified when an exercise was done to move to budgeting for actual staff in post and only including vacancies that there was approval to recruit. It is however anticipated that this budget will be utilised over Quarter 2 to support staffing budgets that have recently had business cases approved and are currently recruiting to additional posts.

The budget for Chief Executive Services includes approved budget savings of £0.930m which is offset by the application of non-recurrent reserve funding of £0.930m from the Transitional Reserve.

#### 3.7.2 Service Communications

The Service Communications budget is forecast to underspend by £0.143m in 2017/18 with the variance as a result of underspends on staffing and other expenditure budgets.

The budget for Service Communications includes approved budget savings of £0.839m, which is offset by the approved application of non-recurrent reserves funding of £0.462m from the Transitional Reserve. Whilst use £0.770m was originally approved, early delivery of savings has meant that only £0.462m is forecast to be required in 2017/18.

### **3.7.4 Non Service Issues Corporate Budgets**

The Non Service Issues Corporate Budget is forecast to underspend by £4.090m in 2017/18.

The significant areas variance are as follows:

- The apprenticeship levy budget is forecast to underspend by £0.261m in 2017/18 as a result of a lower than anticipated pay bill for the County Council. The apprentice levy is 0.5% of the County Council's pay bill and paid on a monthly basis.
- An underspend of £1.310m is forecast within the strategic budget which is based on current expenditure commitments against this budget.
- The inherited pension liability is forecast to underspend by £0.272m in 2017/18.
- As a result of a recent prepayment of the County Council's pensions contributions a saving is forecast of £2.247m in 2017/18. The saving has been generated by a reduction in the cost of employer's contributions.

The forecast includes the planned application of non-recurrent reserve funding of £57.106m from the Transitional Reserve which is to support the identified financial gap in 2017/18.

**Money Matters**  
**Financial Outlook for the County Council**  
**Medium Term Financial Strategy as at**  
**30<sup>th</sup> June 2017**

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### **1. Executive Summary**

#### **1.1 Introduction**

This report outlines the financial position facing Lancashire County Council over the period 2018/19 to 2021/22. The County Council is experiencing an ongoing period of unprecedented financial pressure as a result of the Government's extended programme of austerity combined with significant increases in demand for public services.

In February 2017 Full Council received an updated medium term financial strategy (MTFS) summary outlining the latest financial position facing Lancashire Council which covered the period 2017/18 – 2020/21 and estimated an in year funding gap of £155.953m by the end of the 4 year period. The Council being forecast to have a cumulative deficit of £419.176m by the end of 2020/21.

This report provides an updated position for the rolling 4 year period to include 2021/22 and a review of the existing assumptions to reflect the most current information available. As a result of these reviews and the identification of £45.628m of new savings the funding gap has increased to £167.132m. The increased gap is also as a result of the inclusion of an additional year's funding, demand and inflationary pressures. The forecast funding gap increases in each of the next 4 years, but it is important to note that the increases are not evenly spread, with a gap of £90.205m forecast for 2018/19, £98.637m in 2019/20, £150.495m in 2020/21 and £167.132m in 2021/22.

#### **1.2 Financial Overview 2018/19 – 2021/22**

Under a separate Money Matters report the County Council's financial position for 2017/18 as at 30 June 2017 has been outlined (£5.022m forecast underspend), although this is based on a revenue budget heavily supported by reserves.

The assumptions made in the original MTFS have been reviewed and been updated to reflect the latest information available.

The table on the next page provides a detailed analysis of movements between the previously reported financial gap and the revised financial gap:

|  | 2018/19<br>£m | 2019/20<br>£m  | 2020/21<br>£m  | 2021/22<br>£m  | Total<br>£m    |
|--|---------------|----------------|----------------|----------------|----------------|
| <b>Spending Gap as reported to Full Council in February 2017</b> | 30.934        | 30.036         | 37.876         | 0.000          | <b>98.846</b>  |
| Add change to forecast of spending:                              |               |                |                |                |                |
| Pay and Pensions   | -2.693        | -0.537         | 2.172          | 5.264          | <b>4.206</b>   |
| Price Inflation and Cost Changes                                 | 1.757         | -4.627         | 0.437          | 21.662         | <b>19.229</b>  |
| Service Demand and Volume Pressures                              | 4.486         | 5.063          | -0.524         | 13.982         | <b>23.008</b>  |
| Other  | 8.054         | 0.562          | 0.000          | 0.000          | <b>8.616</b>   |
| Loss of specific grant   | 5.311         | 0.000          | 0.000          | 0.000          | <b>5.311</b>   |
| Undeliverable Savings  | 5.746         | 0.000          | 0.000          | 0.000          | <b>5.746</b>   |
| Additional Savings   | -20.290       | -16.870        | -12.944        | -1.200         | <b>-51.304</b> |
| Reprofiled Savings   | 2.557         | -2.557         | 0.000          | 0.000          | <b>0.000</b>   |
| <b>Total change to forecast of spending</b>                      | <b>4.928</b>  | <b>-18.965</b> | <b>-10.858</b> | <b>39.708</b>  | <b>14.812</b>  |
| Funding  | -2.763        | -2.639         | 24.840         | -23.071        | <b>-3.633</b>  |
| <b>Total change to forecast of resources</b>                     | <b>-2.763</b> | <b>-2.639</b>  | <b>24.840</b>  | <b>-23.071</b> | <b>-3.633</b>  |
| 2017/18 Funding Gap  | 57.106        |                |                |                | <b>57.106</b>  |
| <b>Revised funding gap</b>                                       | <b>90.205</b> | <b>8.432</b>   | <b>51.858</b>  | <b>16.637</b>  | <b>167.132</b> |

| <b>Aggregated Funding Gap</b> |               |               |                |                |
|-------------------------------|---------------|---------------|----------------|----------------|
| <b>2018/19 (£m)</b>           | 90.205        | 90.205        | 90.205         | 90.205         |
| <b>2019/20 (£m)</b>           |               | 8.432         | 8.432          | 8.432          |
| <b>2020/21 (£m)</b>           |               |               | 51.858         | 51.858         |
| <b>2021/22 (£m)</b>           |               |               |                | 16.637         |
| <b>Total</b>                  | <b>90.205</b> | <b>98.637</b> | <b>150.495</b> | <b>167.132</b> |



### **1.3 Conclusion**

Lancashire County Council continues to face, as previously stated, an unprecedented period of financial constraint during the period covered by this MTFS.

The Statutory Services Budget Review undertaken by PwC and reported to Cabinet in October 2016 validated the financial position as reported through the MTFS and confirmed that should the County Council reduce its expenditure to the median of lowest quartile by 2020/21 an in-year deficit of £79m would remain.

The previous MTFS presented to Cabinet and Full Council covered the financial years 2017/18 – 2020/21. The financial gap reported totalled £155.953m by 2020/21. The revised position reported in this MTFS indicates an improved financial gap of £150.495m by 2020/21, predominantly as a result of the inclusion of new savings proposals offset by increasing demand (particularly within Children's Social Care) and the anticipated removal of the Revenue Support Grant (RSG). However, the MTFS traditionally looks to the next 4 years which forecasts a financial gap of £167.132m by 2021/22.

As part of the process of redesigning its services the County Council has previously explicitly recognised the need to utilise its reserves. Details on the updated reserves position are provided in the Money Matters report Appendix C.

When reviewing the County Council's Reserves in conjunction with the Medium Term Financial Strategy (Appendix C) the funding requirement to bridge the financial gap in 2018/19 would total £90.205m. This position is a forecast dependent upon a number of key factors that are detailed within Appendix C. It is important to note that reserves are a one off resource, based on the current forecast profile of usage will be exhausted by 2019/20, other than County Fund, and then not available to support the financial gap from 2019/20 onwards.

## 2. Funding

The MTF5 includes government funding as announced in the Final Settlement in February 2017. It is important to note that the proposed allocations issued from the Government only cover the period up to 2019/20 and assumptions have had to be made for 2020/21 – 2021/22. It is currently anticipated that a new system of Local Government finance will be in place in 2020/21 which involves Local Government retaining all of the business rates and a review of the funding formula. However, details of the scheme and the impact on Lancashire are not known at this time therefore the current business rates and grants structure has been forecast for future years.

The Secretary of State offered Local Authorities the opportunity to apply for a four year financial settlement covering the Revenue Support Grant, Rural Services Delivery Grant and Transitional Grant. The County Council declined this offer as there was evidence to suggest that the proposed settlement did not provide sufficient funding to support the Council's statutory services.

The MTF5 approved by Full Council in February 2017 included the following forecast level of resources:

|                          | 2017/18<br>£m  | 2018/19<br>£m  | 2019/20<br>£m  | 2020/21<br>£m  |
|--------------------------|----------------|----------------|----------------|----------------|
| Revenue Support Grant    | 81.508         | 56.979         | 32.894         | 26.928         |
| Business Rates           | 181.391        | 186.747        | 193.323        | 198.540        |
| Council Tax              | 434.271        | 456.115        | 479.056        | 493.475        |
| New Homes Bonus          | 5.244          | 3.679          | 3.530          | 3.530          |
| Better Care Fund         | 3.210          | 22.656         | 40.014         | 40.014         |
| Adult Care Support Grant | 5.543          | 0.000          | 0.000          | 0.000          |
| Transitional Grant       | 1.154          | 0.000          | 0.000          | 0.000          |
| Capital receipts         | 12.500         | 5.000          | 0.000          | 0.000          |
| <b>Total</b>             | <b>724.821</b> | <b>731.176</b> | <b>748.817</b> | <b>762.487</b> |

The figures above were based on a number of assumptions which have been revisited as part of this report. This report has been updated to include information from the Final Financial Settlement announced in February 2017 (after Full Council). It is important to note that these figures show Council Tax increasing by 3.99% up to 2019/20 and 1.99% thereafter, however this would be a Full Council decision each year when setting the budget.

The revised resources position incorporating the details set out below is as follows:

|                       | 2018/19<br>£m  | 2019/20<br>£m  | 2020/21<br>£m  | 2021/22<br>£m  |
|-----------------------|----------------|----------------|----------------|----------------|
| Revenue Support Grant | 56.979         | 32.894         | 0.000          | 0.000          |
| Business Rates        | 187.206        | 193.788        | 198.989        | 204.431        |
| Council Tax           | 458.371        | 483.810        | 500.839        | 518.468        |
| New Homes Bonus       | 3.727          | 3.713          | 3.207          | 3.207          |
| Better Care Fund      | 22.656         | 40.014         | 40.014         | 40.014         |
| Capital receipts      | 5.000          | 0.000          | 0.000          | 0.000          |
| <b>Total</b>          | <b>733.939</b> | <b>754.219</b> | <b>743.049</b> | <b>766.120</b> |

## 2.1 Settlement Funding Assessment (SFA)

The Settlement Funding Assessment (SFA) is an indication of the level of resources required by an authority which is to be met from business rates and Revenue Support Grant (RSG). On 20<sup>th</sup> February 2017 the Secretary of State announced details of proposed support for the next 3 years, i.e. up to 2019/20 and the MTFs has been based on this Settlement. Assumptions have been made that the funding follows a similar pattern in 2020/21. However, in this revision to the MTFs an assumption has been made that there will not be a Revenue Support Grant from 2020/21 as a result of the latest information available following the final financial settlement in February 2017.

|                        | 2018/19<br>£m  | 2019/20<br>£m  | 2020/21<br>£m  | 2021/22<br>£m  |
|------------------------|----------------|----------------|----------------|----------------|
| <b>SFA Funded by:</b>  |                |                |                |                |
| Revenue Support Grant  | 56.979         | 32.894         | 0.000          | 0.000          |
| Business Rate Baseline | 182.642        | 189.138        | 194.249        | 199.597        |
| <b>Total</b>           | <b>239.621</b> | <b>222.032</b> | <b>194.249</b> | <b>199.597</b> |
| Reduction in SFA       | -18.835        | -17.589        | -27.783        | 5.348          |

The County Council opted not to accept the four year settlement offered in 2016/17, so although the Revenue Support Grant has been confirmed for 2017/18, the decision

not to take the four year settlement could result in future years grant being subject to change. As part of this forecast Revenue Support Grant is assumed to reduce each year until ultimately it is phased out completely by April 2020 at the latest. Although it is hoped that as part of the new funding formula and 100% business rates retention that the impact to the County Council of the removal of RSG will be compensated by the new scheme that is put and place and will be cost neutral, this will become clearer as more information becomes available.

The forecast of economic growth at the time of the Budget was 2% for 2017 but a worsening position was forecast in 2018 (1.6%). The uncertainty following the United Kingdom's decision to leave the European Union, will undoubtedly have an impact on Government finances and could potentially result in further public sector expenditure reductions.

## 2.2 Business Rates

Business Rates income consists of:

- Business Rates Top Up Grant
- Business Rates income from District Councils
- Section 31 Grants

As shown in the table above detailing the SFA the business rate income is a significant portion of funding to local authorities. The baseline is an assessment of the business rate income required to meet service needs. For the County Council, the amount anticipated to be received from the business rates collected in the area is less than its assessed need, therefore it receives a top up grant.

The table below shows an updated forecast of business rates. When the Final Settlement was confirmed in February 2017, the Council's allocation of S31 grant was slightly higher than the forecast at Full Council.

|   | 2017/18<br>£m  | 2018/19<br>£m  | 2019/20<br>£m  | 2020/21<br>£m  | 2021/22<br>£m  |
|---|----------------|----------------|----------------|----------------|----------------|
| <b>Business Rates – Full Council Feb 2017</b> | <b>181.391</b> | <b>186.747</b> | <b>193.323</b> | <b>198.540</b> | <b>0.000</b>   |
| <b>Business Rates – Updated Forecast</b>      |                |                |                |                |                |
| Top Up Grant                                  | 147.042        | 151.773        | 157.172        | 162.123        | 167.311        |
| Income from District Councils                 | 29.906         | 30.868         | 31.966         | 32.126         | 32.286         |
| Section 31 Grant                              | 4.475          | 4.565          | 4.650          | 4.740          | 4.834          |
| Business Rates Pooling Income                 | 0.407          |                |                |                |                |
| <b>Total</b>                                  | <b>181.830</b> | <b>187.206</b> | <b>193.788</b> | <b>198.989</b> | <b>204.431</b> |
| <b>Difference</b>                             | <b>0.439</b>   | <b>0.459</b>   | <b>0.465</b>   | <b>0.449</b>   | <b>204.431</b> |
| Impact on gap                                 | -0.439         | -0.020         | -0.006         | 0.016          | -204.431       |

Business Rates Income for the County Council is heavily dependent upon cooperation from the District Councils, and much will depend on the general economic performance of local areas. In addition, there are valuation appeals outstanding, some of which are on large value properties. If successful these will have a negative impact on the ability to generate business rates. With this in mind a minimal amount of growth has been built into the local share.

The baseline data from the government already assumes an increase in income derived from local business rates. Therefore given the economic uncertainty, no further growth has been built in on top of this.

The Government compensates authorities for the cost of a number of measures which they have introduced via Section 31 grant. Some of these reliefs are likely to rise with inflation as without the measure introduced, the income would have increased, whereas the other reliefs are more likely to relate to the change in the business rate base. It is assumed that the level of these reliefs is maintained at the current level.

### *The Lancashire Business Rates Pool*

The final aspect of the business rate forecast is the pooling arrangement. The 2017/18 budget includes an additional £0.407m due to the continuation of the Lancashire Pool. This is agreed on an annual basis, therefore the additional income has not been included past 2017/18.

It is important to note that due to Lancashire County Council being part of a pooling arrangement it has forfeited the right to a safety net payment should our business rates income decline significantly, by more than 7.5%.

## **2.3 Council Tax**

In the Provisional Financial Settlement in December 2016, in recognition of the pressures facing Local Authorities responsible for Adult Social Care, the Secretary of State announced that Local Authorities could bring forward the Adult Social Care Precept, moving from a limit of 2% to 3%, but with a maximum of 6% over the three year period (2017/18 – 2019/20). It was also announced that there would be no Adult Social Care Precept in 2020/21.

In February 2017, at Full Council, a Council Tax increase of 1.99% and an Adult Social Care Precept of 2% was agreed resulting in a Council Tax increase of 3.99% in total.

The MTFs presented to Full Council in February included the assumption that Council Tax would increase by 1.99% per annum which is the current referendum limit, plus a 2% Adult Social Care Precept increase in 2018/19 and 2019/20. It is possible that the County Council could take the decision to raise a 3% Adult Social Care Precept in 2018/19 and therefore a 1% increase in 2019/20 due to the flexibilities offered by the Government, which would result in £4.4m of income being generated earlier, but by 2019/20 the cumulative position of income raised through Council Tax would be similar to the current MTFs projections. From 2020/21 onwards, it is assumed the maximum increase will revert back to 1.99%, as the option to raise an Adult Social Care precept will no longer be available. These assumptions continue to be reflected within this

iteration of the MTFS. It is important to note that these increases would be subject to a Full Council decision each year when setting the budget, but any decisions taken not to increase council tax as per the assumptions above would increase the financial gap.

### Tax Base

The MTFS last presented to Full Council also assumed an increase to the tax base year on year of 1%. Analysis of Lancashire's tax base over recent years indicates an average council tax base increase of 1.7% therefore a tax base increase of 1.5% has been built in to these figures as a prudent increase. This will be discussed further with District Councils throughout the year, and amended in future MTFS reports if required.

The table below indicates the impact of a further 0.5% increase in tax base.

|                                     | 2018/19<br>£m | 2019/20<br>£m | 2020/21<br>£m |
|-------------------------------------|---------------|---------------|---------------|
| Council Tax – Updated forecast      | 458.371       | 483.810       | 500.839       |
| Council Tax – Full Council Feb 2017 | 456.115       | 479.056       | 493.475       |
| <b>Difference</b>                   | <b>2.256</b>  | <b>4.754</b>  | <b>7.364</b>  |
| Impact on gap                       | -2.256        | -2.498        | -2.610        |

The impact of the tax base increase in 2021/22 is not included above, as, in the previously reported MTFS, 2021/22 was not projected and therefore there is no impact on the financial gap as a result of this change. A full year's Council Tax, including the increased growth figure has been included within Council Tax projections within this report.

### **2.4 New Homes Bonus**

As part of the provisional settlement, the Secretary of State announced that payments would be received for 5 years from 2017/18 and 4 years in future years. In addition no New Homes Bonus will be given for the first 0.4% of growth. These changes have been made to wholly fund the 2017/18 Adult Care Support Grant which resulted in a net gain for Lancashire overall (County Council, District Council and Unitary Councils) benefitting by £4.033m. This is one off funding that is within the 2017/18 budget.

Following the Final Financial Settlement, the New Homes Bonus within the MTFS has been revised slightly and now includes 2021/22:

|   | 2018/19<br>£m | 2019/20<br>£m | 2020/21<br>£m | 2021/22<br>£m |
|---|---------------|---------------|---------------|---------------|
| New Homes Bonus – Updated Forecast      | 3.727         | 3.713         | 3.207         | 3.207         |
| New Homes Bonus – Full Council Feb 2017 | 3.679         | 3.530         | 3.530         | 0.000         |
| <b>Difference</b>                       | <b>0.048</b>  | <b>0.183</b>  | <b>-0.323</b> | <b>3.207</b>  |
| Impact on gap                           | -0.048        | -0.135        | 0.506         | -3.530        |

## **2.5 Better Care Fund**

The provisional allocations of the Better Care Fund remain unchanged from those reported to Full Council in February 2017. It is important to note that provisional funding information has only been provided up to 2019/20 therefore the MTFS assumes that this funding will continue into future years and/or be replaced by alternative funding at the same level.

## **2.6 Capital Receipts**

From 1st April 2016 the Government introduced the flexibility for capital receipts to be used to fund revenue expenditure which meets certain criteria. To meet the qualifying criteria the revenue expenditure needs to relate to activity which is designed to generate ongoing revenue savings or to transform a service which results in revenue savings or improvements in the quality of provision.

The 2018/19 budget includes £5.000m funding from capital receipts to support the revenue budget. Any amounts over the amount forecast can be carried over towards the following year.

## **2.7 Improved Better Care Fund (iBCF)**

At the 2017/18 Budget announcement a total of £2.021bn was announced as supplementary funding to the improved Better Care Fund (iBCF). This was to recognise that all local authorities face pressure on the provision of adult social care.

This resulted in Lancashire County Council receiving the following allocations:

- 2017/18 – £24.886m
- 2018/19 - £15.736m
- 2019/20 - £7.799m

The grant is non-recurrent and may only be used for the purposes of meeting adult social care needs, reducing pressure on the NHS including supporting more people to be discharged from hospital when they are ready and in ensuring that the local social care provider market is supported. Lancashire Health and Wellbeing Board on 7<sup>th</sup> August 2017 agreed spending plans that were put forward with regard to the grant for 2017/18 and 2018/19. The agreed schemes will now progress into implementation and future money matters reports will identify the financial impact of these activities.

### 3. Net Spending Pressures

The MTFs covers spending pressures including pay increases, contractual inflation, increased demand for services and the impact of previously agreed savings measures that are either no longer achievable at all or not to the scale or in the timeframes originally planned and new savings proposals.

#### 3.1 Pay and Pensions

In the July 2015 Budget the Chancellor announced a 4 year restriction on public sector pay increases at 1% per year. This assumption was built into the current MTFs and remains unchanged, however a full review of the current staffing cohort and future savings that may impact on staffing has been included. This also incorporates a separate calculation for the National Living Wage which the County Council is committed to paying its employees as an accredited member of the Living Wage Foundation. The pay requirement also includes a provisional amount for additional holiday pay to staff.

As part of the review of the MTFs a resource requirement has been built in to fund the cost of increments that will be paid to staff as they progress up their respective grades.

In March 2017 Cabinet agreed to a re-profiling of the Council's pension contributions resulting in a saving over a 3 year period. This is now reflected within the MTFs based on the latest information available in relation to the County Council's estimated contribution rate and deficit contributions.

The Chancellor has previously announced that an apprenticeship levy would be introduced to help fund employer apprenticeship schemes and "invest in Britain's future." The levy was introduced in April 2017 at a rate of 0.5% of an employer's pay bill, therefore an estimate of £1.500m was been included in the MTFs. This has been reviewed based on Quarter 1 payments to the levy and the 2018/19 budget provision has been slightly reduced.

The table below presents the amounts built into the MTFs for pay and pensions:

|   | <b>2018/19<br/>£m</b> | <b>2019/20<br/>£m</b> | <b>2020/21<br/>£m</b> | <b>2021/22<br/>£m</b> | <b>Total<br/>£m</b> |
|---|-----------------------|-----------------------|-----------------------|-----------------------|---------------------|
| <b>Pay and Pensions<br/>previous MTFs</b> | 5.851                 | 6.018                 | 5.672                 | 0.000                 | <b>17.541</b>       |
|   |                       |                       |                       |                       |                     |
| Revised Pay and<br>Pension requirements   | 3.158                 | 5.481                 | 7.844                 | 5.264                 | <b>21.747</b>       |
|   |                       |                       |                       |                       |                     |
| <b>Impact on Financial<br/>Gap</b>        | <b>-2.693</b>         | <b>-0.537</b>         | <b>2.172</b>          | <b>5.264</b>          | <b>4.206</b>        |



### 3.2 Price Inflation and Cost Changes

Contractual price increases represent a significant cost pressure to the County Council. The assumptions have been subject to regular review by services with a reduction of £2.433m identified when comparing the values within the previous MTFS (2018/19 – 2020/21) and a further £21.662m included in 2021/22 to reflect an additional year of price and inflation costs that have been added to this MTFS.

|   | 2018/19<br>£m | 2019/20<br>£m | 2020/21<br>£m | 2021/22<br>£m | Total<br>£m   |
|---|---------------|---------------|---------------|---------------|---------------|
| <b>Price inflation – previous MTFS*</b> | 22.754        | 24.395        | 25.479        | 0.000         | <b>72.628</b> |
|   |               |               |               |               |               |
| Revised price inflation requirements    | 24.511        | 19.768        | 25.916        | 21.662        | <b>91.857</b> |
|   |               |               |               |               |               |
| <b>Impact on Financial Gap</b>          | <b>1.757</b>  | <b>-4.627</b> | <b>0.437</b>  | <b>21.662</b> | <b>19.229</b> |

\*National Living Wage increases now included in price rather than "other" category within the MTFS and re-categorisation of some other smaller service lines.

Some of the key areas of price pressure are:

- A significant part of the price pressures shown in the above table relate to inflationary pressures within Adults Services. This is calculated using the best estimates of inflationary levels that are forecast within social care based on 2016/17 fee increases that were agreed. It is forecast that a budget requirement of £64.122m over the MTFS period is required for payments to external providers of social care and it is important that the County Council keeps up with increases in the price of resources for suppliers to ensure the required service provision is delivered.

The price/inflationary increases for Adults Services now incorporates the National Living Wage (previously contained within the "other" section of the MTFS report) as this is generally included within price increases that the service experiences.

The price inflation included in the MTFS for Adults Service is profiled as follows:

- 2018/19 - £15.723m
- 2019/20 - £16.161m
- 2020/21 - £18.442m
- 2021/22 - £13.796m

The inflationary pressures included in this MTFS for Adults Services reflects an decrease of £4.809m following updated inflationary information figures based on the most up to date information available when comparing the 3 years (2018/19 – 2020/21) that were in the previous MTFS. The table also reflects an

additional year's price inflation to reflect the inclusion an additional year within the MTFs of £13.796m.

- Waste Disposal continues to require significant budget to meet inflationary commitments over the next four years. In total the budget requirement for the service is £6.947m. This requirement has reduced by £2.220m when comparing those years contained within the previous MTFs, and a new full year cost of £2.927m for 2021/22.
- Children's Social Care is a further significant area that requires price inflation within its budget. In total the budget requirement for the service is £5.815m. This includes items that will inflate such as agency payments, residence orders, foster and other allowances and payments to health. This requirement has reduced by £1.265m when comparing those years contained within the previous MTFs, and a new full year cost of £1.470m for 2021/22.
- Inflationary increases for premises running cost budgets have been included in this MTFs as they have not previously been included. As charges such as energy costs increase estimates of price rises have been included within this MTFs with 2018/19 including 2 years inflation as no provision was made in the 2017/18 budget. The total budget requirement is £3.992m over the 4 year period of the MTFs.
- Other smaller areas of price inflation include transport costs, concessionary travel, highways, winter maintenance, energy and legal fees.

### 3.3 Demand Pressures

All services have reviewed the demand pressures they face in future years. The impact of this review has been identified and is reflected in the revised MTFs. It can be seen that a significant proportion of the funding gap that has been identified is due to demand pressures.

In total it is estimated that the demand pressures are now £77.575m. This is an increase of £9.025m when comparing those years contained within the previous MTFs, and a new full year demand pressure of £13.982m for 2021/22.

|                                | 2018/19<br>£m | 2019/20<br>£m | 2020/21<br>£m | 2021/22<br>£m | Total<br>£m   |
|--------------------------------|---------------|---------------|---------------|---------------|---------------|
| <b>Demand – previous MTFs*</b> | 15.235        | 18.134        | 21.198        | 0.000         | <b>54.567</b> |
| Revised Demand Requirements    | 19.721        | 23.197        | 20.674        | 13.982        | <b>77.575</b> |
| <b>Impact on Financial Gap</b> | <b>4.486</b>  | <b>5.063</b>  | <b>-0.524</b> | <b>13.982</b> | <b>23.008</b> |

\* Re-categorisation of some service lines has taken place to better reflect nature of budget benefit/pressure.

- Adult Social Care represents a large proportion of the demand pressures. Adult Social Care has long seen annual increases in the demand for services and the MTFs attempts to predict growth in future years largely based on reviewing current and past activity trends but also taking into account future population changes. From "a social care perspective" demand covers both increasing numbers of people eligible for support and the increasing complexity of those supported reflected in higher average costs per service user.

All demand assumptions contained within this revised MTFs regarding Adult Social Care have been reviewed based on the most up-to-date trend analysis. The MTFs now contains the same amount over the comparable period, but includes an additional year (2021/22) which has the value of £10.834m.

The demand included in the MTFs for Adults Service is profiled as follows:

- 2018/19 – £11.922m
- 2019/20 - £14.642m
- 2020/21 - £17.055m
- 2021/22 - £10.834m

- The cost of Children's Social Care continues to experience increasing demand and has been significantly increased again as part of this update of the MTFs. The forecast requirement is £17.058m over the next 4 years. This is in addition to significant additional budget that the service has been given to support improvements following the Ofsted inspection in both 2016/17 and 2017/18, but it an assumption is also made that demand will plateau in future years, with a reducing demand increase built into future year's budget. In previous MTFs reports an increase has only been included for the next financial year, whereas in this revision 4 years of forecast demand levels has been included. This forecast is based on current demand levels and uses benchmarking information from other County Council's and national data in relation to Children Looked After (CLA) budgets to project future funding requirements.

The demand included in the MTFs for Children's Social Care is profiled as follows:

- 2018/19 - £7.922m
- 2019/20 – £6.502m
- 2020/21 - £1.237m
- 2021/22 - £1.397m

A Finance Sub-Group has been established to specifically focus on the cost drivers, unit costs and financial analysis of the costs and demand levels being experienced in Children's Social Care, with their findings being reported back to the 0-25 Board.

- The revised MTFs continues to include a significant amount in relation to Waste Services demand pressures, however this has reduced as a result of decreased forecasts for residual waste arisings with 3.2% currently being forecast (compared to a previously assumed 5.4%). The budget requirement for waste

was previously £8.011m for the period 2018/19 – 2020/21 and now contains £3.246m which is a reduction of £4.765m (the 2018/19 reduction reflects reduced demand in both 2017/18 and 2018/19). The MTFS includes an additional year which is forecasting a demand requirement of £1.691m

### **3.4 Other**

This section of the MTFS has seen an increased budget requirement of £8.054m in 2018/19. The majority of this relates to a budget amendment which totals £6.115m that was agreed by Full Council in July 2017. In addition, a further Cabinet report relating to reopening libraries was recently agreed which required a further £0.166m to be built into the MTFS.

The revised MTFS also contains an amount of £1.140m relating to SEN home to school transport following a review of charges that are able to be made to the schools budget meaning that these costs must now be funded from the County Council's budget.

A revision has been made in respect of Troubled Families budget to better reflect the levels of income that the service will achieve for the element that is classified as "payments by results". This estimate has been based on performance in 2016/17 and the current forecast at Quarter 1 as part of budget monitoring.

Finally, an additional amount of £0.197m has been built into this section of the MTFS in relation to funding for countryside sites following a report and decision by the Cabinet Member for Environment, Planning and Cultural Services in March 2017 outlining the additional funds needed to run the service.

### **3.5 Loss of Specific Grant**

The Local Authority currently has budgeted income of £7.784m for the Education Services Grant in 2017/18. However, this funding stream will cease in its current form in September 2017 with transitional funding being provided for 2017/18. Generally there is a shift towards LAs being funded for "Central Duties" via a new smaller grant and "Retained Duties" being funded out of the Dedicated Schools Grant which will require Schools' approval. The MTFS reflects the removal of the grant from 2018/19 (£5.193m) with budget only including the funding relating to retained duties which is subject to the approval of the Schools Forum each financial year.

A further adjustment has been made to reflect that the Authority has a recurring pressure in relation to the Food Safety Grant of £0.118m.

### **3.6 Undeliverable Savings**

The savings previously agreed are constantly under review with the current remaining programme totalling c£54m in 2017/18 and beyond. Whilst the majority of savings are being delivered within the timeframes identified, and in some cases earlier than planned, there are several cases where it has now been identified that the saving is not fully deliverable which total £5.746m.

Within the Council's budget there have been a number of savings agreed for the Libraries Service in 2017/18 and several financial years prior to that. The service have reported that they are unable to achieve the 2017/18 saving in addition to some earlier smaller savings, therefore a value of £2.361m has been built back into the MTFS.

A further saving that has been declared as partly undeliverable that relates to property rationalisation. The saving originally agreed was £5.000m by 2018/19. Across the County Council savings of £1.542m have been achieved to date. Further rationalisation of the property portfolio is therefore required to deliver further savings and at this point £1.458m is identified as undeliverable in 2017/18 and has been built into the MTFS, with further investigation required to confirm if the further saving of £2.000m in 2018/19 can be achieved.

Further areas where savings are deemed to be undeliverable are Older People (£0.427m) and Waste Services (£1.500m) as reported in the current revenue monitoring position for 2017/18. Both areas have delivered significant savings against those originally agreed but these values remain undeliverable against the original plan.

### **3.7 Additional Savings**

As the County Council continues to have a significant and increasing financial gap over future financial years a detailed review has been completed of service budgets. This has resulted in initial savings totalling £45.628m (over the next 3 financial years) being included within this MTFS from 2018/19 onwards.

This is the first phase of savings that will be put forward with further phases to follow. These savings are deemed to be deliverable from 1<sup>st</sup> April 2018, with some savings reflecting work that is already underway within services. Many of these savings are relatively straightforward to deliver with some already being shown as underspending areas within 2017/18 budget monitoring. These savings primarily cover efficiencies, recurrent underspends, income generation and service changes which are not expected to have a negative impact on front line service delivery.

It is anticipated that further savings proposals will be presented for approval at future Cabinet meetings, reflecting that there remains an estimated shortfall of £90.205m in 2018/19 should savings in this report be agreed and delivered.

Please see Appendix D within the Money Matters Reports presented to Cabinet for further details.

In addition, transformational activity to achieve savings that is already underway within Adults Services called "Passport to Independence" is now forecasting increased savings of £4.476m that have been included in this section of the MTFS.

A further additional saving of £1.200m has been included in the financial year added to this revision of the MTFS (2021/22) relating to the continued remodelling of LD supported living services that was included within MTFS reports to Cabinet during 2016/17, as it is expected that this activity will continue into this additional year.

### **3.8 Re-profiled Savings**

Following further detailed work in relation to the Passport to Independence transformation programme within Adults Saving programme the saving has been re-profiled. This results in a savings value of £2.557m moved from 2018/19 to 2019/20 in the MTFS.

## **4. Future Risks**

In addition to the economic uncertainty post-Brexit outlined earlier in the report, the following are key future risks, the full impact of which is not known at this stage:

### **4.1 Agreed Savings Plans Delivery**

The scale of agreed savings is hugely significant given both the scale and areas covered, and there are inherent risks in their delivery (2017/18 – 2020/21 c£54m). Any significant under-delivery of agreed savings will create an additional funding gap and impact on the ongoing and longer-term financial health of the Council. This has been identified as one of the highest level risks in the Risk and Opportunity Register. There are comprehensive arrangements in place to track delivery of financial savings and take corrective actions where required.

### **4.2 Identification of Further Savings Opportunities**

As detailed earlier in this report, additional potential savings have been prepared for every area of the council's expenditure. In this report c£50m of savings are proposed to be implemented with further savings to be presented to Cabinet at future meetings, reflecting that there remains an estimated shortfall of £87.221m in 2018/19 should savings in this report be agreed and delivered.

The County Council has previously agreed to set an expenditure target for service expenditure levels to move in line with the lower quartile of the most appropriate group of local authorities for individual services. This remains part of the financial strategy of the organisation, and will be updated to reflect the 2016/17 outturn and 2017/18 budget information once available that Authorities now have and which will identify where the Council now benchmarks in comparison to other Local Authorities.

### **4.3 Business Rates Retention / Changes to Funding Formula**

In 2015 the Chancellor announced that local government as a whole would be able to keep 100% of business rates by 2020. Using Office for Budget Responsibility (OBR) forecasts the Government has estimated that additional business rates kept by councils will be c£13bn by 2020/21 with the intention to transfer new responsibilities to local government to ensure cost neutrality overall of the funding changes. There is currently a system of redistribution (top-ups and tariffs) to reflect there are councils with relatively higher needs but lower income from business rates and vice versa. The Secretary of State for Communities and Local Government has also announced a full review of needs and redistribution which will be used as the starting point for the new system when it comes into force.

The County Council currently receives a top-up grant, primarily as a result of having Adult Social Care responsibilities, and there is insufficient information currently, although work is progressing nationally with a number of complete and planned consultations regarding the changes, to model what the financial impact of the changes will be and the financial impact on the County Council.

It is important to note that although the recent General Election may have caused some delays in progressing the scheduled timetable surrounding 100% business rates retention and funding formula review a representative from DCLG recently stated that: "Ministers remain committed to local government taking greater control of their income, as outlined in the Manifesto. We [DCLG] are engaging Ministers on the options for future reform without an immediate Bill and we will be in touch once we are in a position to resume working with you on the future of local government finance reform".

#### **4.4 Sustainability and Transformation Plan (STP)**

Since 2015 the County Council has been a partner organisation in the Better Care Fund planning and pooled budget arrangements with Clinical Commissioning Groups (CCG's). Building on this is the requirement for every part of the NHS to have a locally led STP in place by 2017. This is within the context of the substantial financial challenges for the health and social care system in Lancashire and will involve the development of new delivery models and ways of working to minimise the impact of funding reductions and provide a better offer for patients and service users.

The County Council will receive additional funding of £24.886m in 2017/18, £15.735m in 2018/19 and £7.799 announced in the spring budget to form part of the Improved Better Care Fund (iBCF). The grant is non-recurrent and may only be used for the purposes of meeting adult social care needs, reducing pressure on the NHS including supporting more people to be discharged from hospital when they are ready and in ensuring that the local social care provider market is supported. Lancashire Health and Wellbeing Board on 7th August agreed spending plans that were put forward with regard to the grant for 2017/18 and 2018/19. The agreed schemes will now progress into implementation and future money matters reports will identify the financial impact of these activities.

#### **4.5 Children's Social Care**

Children's Social Care demand levels are currently forecast to continue to increase, particularly within agency residential placements. The establishment of the 0-25 Programme Board in addition to a supporting Finance Sub Group are critical in analysing the current and future levels of demand and working to develop demand management across the service.

Significant additional budget was allocated to Children's Social support improvements and demand pressures following the Ofsted inspection in both 2016/17 and 2017/18. An assumption is also made that demand will plateau in future years, with a reducing demand increase built into future year's budget. In previous MTFS reports an increase has only been included for the next financial year, whereas in this revision 4 years of forecast demand levels has been included. This forecast is based on current demand

levels and uses benchmarking information from other County Council's and national data in relation to Children Looked After (CLA) budgets to project future funding requirements and will continue to be regularly reviewed.



**Money Matters**  
**Update on the County Council's Reserves**  
**Position as at 30<sup>th</sup> June 2017**

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# Money Matters – Update on the County Council's Reserves Position for 2017/18

## 1. Executive Summary

### 1.1 Introduction

As at 1<sup>st</sup> April 2017 the County Council had total reserves of £343.048m. Of this, £79.209m was held for schools and its use is restricted.

This report sets out the reserves position in line with the current budget monitoring report.

### 1.2 Summary

As part of the process of redesigning its services the County Council has previously explicitly recognised that it will need to significantly utilise its reserves to support the budget.

At Full Council in February 2017 the revenue budget included a forecast commitment from the Transitional Reserve of £88.040m in 2018/19 to support the reported financial gap at that time. However, following a review of the Medium Term Financial Strategy (MTFS) for Cabinet based on the financial position at the end of June 2017 (Appendix B) it has been identified that the gap between forecast expenditure and funding in 2018/19 is of £87.221m. The value of the uncommitted Transitional Reserve is currently £91.498m and whilst it is anticipated that further revenue savings for 2018/19 will be identified, Table 2 of this report shows the impact of utilising the Transitional Reserve to fund the £90.205m gap which would leave £1.293m for 2019/20 based on current forecasts. Table 2 demonstrates the funds that are forecast to be available to support the budget gap in 2018/19 and part of 2019/20. However, in order to set a legal budget further savings will need to be made.

Table 1 also shows available balances in the Strategic Investment Reserve, Risk Management Reserve and Service Reserves where work is currently underway to review if there are further commitments or other conditions (such as grant requirements) that means that these funds cannot be transferred to the Transitional Reserve. The total of the balances under review is £9.501m.

The budget monitoring position for the financial year 2017/18 (Appendix A) is reporting a forecast underspend of £5.022m. **Please note that this is not currently included within the forecast reserves position in this report.**

In summary, this report indicates that there are sufficient funds within the Transitional Reserve to support the budget gap between forecast expenditure and available funding in 2018/19 but not then in 2019/20 and beyond. However this is dependent upon a number of key factors and risks which are as follows:

- All values within reserves that are currently reported to be available funds are transferred into the transitional reserves with no further commitments emerging in these areas now that the transfer has taken place.

- There is limited slippage on the agreed savings programme for 2018/19 and beyond. Any slippage will result in a requirement for funding from reserves.
- Further savings are identified and implemented from April 2018 to support achieving a balanced budget position.
- Impact of the in-year revenue position – a positive or negative outturn will impact on the level of reserves available from April 2018.

## 2. Reserves

Table 1 illustrates the summary forecast position in respect of the Council's reserves:

Table 1

| Reserve Name                                     | Approved at Full Council Feb 2017 | 2017/18 Forecast Spend | 2017-18 transfers to / from other reserves | 2017/18 Forecast Closing Balance | 2018-19 Forecast Spend | 2019-20 Forecast Spend | Total as at 31 March 2021 |
|--|-----------------------------------|------------------------|--|----------------------------------|------------------------|------------------------|---------------------------|
|  | £m                                | £m                     | £m   | £m                               | £m                     | £m                     | £m                        |
| County Fund (3.1)                                | -36.000                           | 3.995                  | 0.000                                      | -32.005                          | 0.000                  | 0.000                  | -32.005                   |
| <b>SUB TOTAL - COUNTY FUND</b>                   | <b>-36.000</b>                    | <b>3.995</b>           | <b>0.000</b>                               | <b>-32.005</b>                   | <b>0.000</b>           | <b>0.000</b>           | <b>-32.005</b>            |
| Strategic Investment Reserve (3.2)               | -4.446                            | 1.630                  | 0.037                                      | -2.779                           | 1.779                  | 0.060                  | -0.940                    |
| Downsizing Reserve (3.3.1)                       | -18.913                           | 9.853                  | 0.000                                      | -9.060                           | 9.060                  | 0.000                  | 0.000                     |
| Risk Management Reserve (3.3.2)                  | -10.439                           | 2.578                  | 3.001                                      | -4.860                           | 4.422                  | 0.000                  | -0.438                    |
| Transitional Reserve (3.4.1)                     | -159.014                          | 72.740                 | -6.806                                     | -93.081                          | 1.583                  | 0.000                  | -91.498                   |
| To facilitate the transition of services (3.4.2) | -3.000                            | 0.000                  | 3.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Service Reserves (3.5)                           | -13.038                           | 3.412                  | 0.758                                      | -8.867                           | 0.670                  | 0.073                  | -8.124                    |
| <b>SUB TOTAL - LCC RESERVES</b>                  | <b>-208.850</b>                   | <b>90.213</b>          | <b>-0.010</b>                              | <b>-118.647</b>                  | <b>17.515</b>          | <b>0.133</b>           | <b>-100.999</b>           |
| Schools/Non-LCC Service Reserves (3.5)           | -18.989                           | 1.914                  | 0.010                                      | -17.065                          | 1.003                  | -0.687                 | -16.749                   |
| <b>SUB TOTAL - SCHOOLS/NON LCC RESERVES</b>      | <b>-18.989</b>                    | <b>1.914</b>           | <b>0.010</b>                               | <b>-17.065</b>                   | <b>1.003</b>           | <b>-0.687</b>          | <b>-16.749</b>            |
| <b>GRAND TOTAL</b>                               | <b>-263.839</b>                   | <b>96.122</b>          | <b>0.000</b>                               | <b>-167.717</b>                  | <b>18.518</b>          | <b>-0.554</b>          | <b>-149.753</b>           |

Table 1 demonstrates the available balance of the Transitional Reserve of £91.498m to support the financial gap/shortfall. Table 2 shows that this balance could support 2018/19 budget gap and part of the 2019/20 budget. This would result in the only remaining balance on reserves being County Fund (£32.005m), non LCC reserves (£16.749m) and other reserve balances totalling £9.501m which are subject to further review to determine if they can be transferred to the Transitional Reserve. This reserves position is not sufficient to cover the financial gap post 2018/19.

Table 2

|   | 2018-19 | 2019-20 |        |
|---|---------|---------|--------|
| <i>MTFS Funding Gap</i>                     | 90.205  | 98.637  |        |
| Available reserves to support financial gap | 90.205  | 1.293   | 91.498 |

## **2.1 County Fund Balance**

The County Fund is the balance set aside to cover the authority against a serious emergency situation (e.g. widespread flooding); a critical and unexpected loss of income to the authority and for general cash flow purposes. In considering these various factors the County Council holds a County Fund balance at £32.005m.

Part of this reserve has been used to support the budget amendment agreed by Full Council in July 2017 totalling £3.995m in 2017/18, reducing the balance from £36.000m to its current balance of £32.005m. This was on the basis that this is still a prudent and reasonable amount to keep in the County Fund for emergency situations as described above with benchmarking of other Local Authorities completed to support the reduction.

## **2.2 Strategic Investment Reserve**

This reserve is held to fund an agreed programme of investment in areas including economic development and increasing employment opportunities.

On 1<sup>st</sup> April 2017 this reserve held a balance of £4.446m. Of this balance, £1.630m is forecast to be spent in 2017/18, £0.037m transferred to the Transitional Reserve and a further £1.839m forecast to be spent by 2019/20 leaving a balance of £0.940m.

Details of the commitments are shown in Annex A.

## **2.3 Reserves held to deliver Organisational Change**

The County Council currently has two reserves to deliver organisational change: the Downsizing Reserve and the Risk Management Reserve.

### **2.3.1 Downsizing Reserve**

The Downsizing Reserve is predominantly used to fund voluntary redundancies arising from the reduction in the size of the organisation.

On 1<sup>st</sup> April 2017 this reserve held a balance of £18.913m. In 2017/18 spend against the reserve is forecast to be £9.853m of which £8.422m is committed for estimated redundancy costs. Expenditure of £9.060m is forecast to be spent in 2018/19 leaving a nil balance on the reserve.

Details of the commitments are shown in Annex B.

### **2.3.2 Risk Management Reserve**

The Risk Management Reserve was created as a result of extraordinary Treasury Management performance during 2014/15 and previous years. This reserve is available to help the authority manage risks to funding and service delivery going forward.

This reserve had a balance of £10.439m on 1<sup>st</sup> April 2017. It is forecast that £3.016m will be spent in 2017/18 in addition to £3.001m uncommitted reserves transferring to the Transitional Reserve and a transfer into the reserve from Waste Services for £0.438m. It is forecast that a further £4.422m is committed in 2018/19 leaving a balance of £0.438m at the end of 2019/20. This balance is committed in 2020/21.

Details of the commitments are shown in Annex B.

### **2.4 Transitional Reserve**

A Transitional Reserve was created for 2016/17 to provide a source of funding for these plans agreed by Cabinet that were agreed to be heavily supported from reserves, including agreed savings and the financial gap/shortfall that the County Council was reporting.

This reserve had a balance of £159.014m on 1<sup>st</sup> April 2017. It is forecast that £79.459m will be spent in 2017/18, with transfers into the reserve of £6.719m and transfers from other reserves of £6.806m. It is forecast that a further £1.583m is committed in 2018/19 leaving a balance of £91.498m at the end of 2019/20.

Details of the commitments are shown in Annex C.

#### **2.4.1 Reserve to facilitate the transition of services**

At Full Council on 11<sup>th</sup> February 2016 a budget amendment was approved that requested a £3.000m contingency be made available from reserves to facilitate the transition of services. This has previously been set aside from the Transitional Reserve because of this specific nature of the approval, however it is considered appropriate now for this to be combined with the Transitional Reserve and any future funding requirements of this type can be funded from the Transitional Reserve.

Details are shown in Annex C.

### **2.5 Service Reserves**

The County Council holds numerous reserves for specific service provision.

As at 1<sup>st</sup> April 2017 service reserves totalled £32.027m, of which £18.989m are non LCC Reserves.

There are forecast costs of £5.326m in 2017/18, transfers to the Transitional Reserve totalling £0.768m and spend from these reserves of £1.060m in later years to leave a

balance of £24.873m at the end of 2019/20. However of this balance only £8.124m are LCC Reserves.

Details of the Service Reserves are shown in Annex D.

## 2.6 Schools

Under statute schools have delegated budgets. It is the responsibility of the individual schools to maintain reserves to cover risks and meet future plans. As schools make their own delegated decisions on when to use reserves, no forecast is made. School reserves cannot be used for any other purpose.

## 3. Transfers between Reserves

| TRANSFERS BETWEEN RESERVES                    | £m           | Transfer from                  | Transfer To          | Reason   |
|---|--------------|--------------------------------|----------------------|--|
| Liquid Logic - Children's Services            | 0.001        | Risk Management Reserve        | Transitional Reserve | Balance no longer required in Risk Management Reserve        |
| Economic Development - GAMMA                  | 0.017        | Strategic Investment Reserve   | Transitional Reserve | Balance no longer required in Strategic Investment Reserve   |
| Early Action/Early Response                   | 0.020        | Strategic Investment Reserve   | Transitional Reserve | Balance no longer required in Strategic Investment Reserve   |
| Risk Management Reserve - Fairness Commission | 3.000        | Risk Management Reserve        | Transitional Reserve | Balance no longer required in Risk Management Reserve        |
| Transition of services                        | 3.000        | Transition of services reserve | Transitional Reserve | Balance no longer required in Transition of Services Reserve |
| Roundabout Sponsorship                        | 0.031        | Service Reserves               | Transitional Reserve | Balance no longer required in Service Reserves               |
| Service Reserves - capital funding (Non-LCC)  | 0.010        | Service Reserves               | Transitional Reserve | Balance no longer required in Service Reserves               |
| Service Reserves - County hall refurbishment  | 0.727        | Service Reserves               | Transitional Reserve | Balance no longer required in Service Reserves               |
| <b>TOTAL</b>                                  | <b>6.806</b> |                                |                      |  |



## Annex A – Strategic Investment Reserve

| <b>STRATEGIC INVESTMENT RESERVE</b>            | <b>Approved at Full Council Feb 2017</b> | <b>2017/18 Forecast Spend</b> | <b>2017-18 transfers to / from other reserves</b> | <b>2017/18 Forecast Closing Balance</b> | <b>2018-19 Forecast Spend</b> | <b>2019-20 Forecast Spend</b> | <b>Total as at 31 March 2020</b> |
|--|--|-------------------------------|---|---|-------------------------------|-------------------------------|----------------------------------|
|  | <b>£m</b>                                | <b>£m</b>                     | <b>£m</b>   | <b>£m</b>                               | <b>£m</b>                     | <b>£m</b>                     | <b>£m</b>                        |
| Economic Development - GAMMA                   | -0.017                                   | 0.000                         | 0.017   | <b>0.000</b>                            | 0.000                         | 0.000                         | <b>0.000</b>                     |
| Economic Enterprise Zone Strategic Development | -0.500                                   | 0.000                         | 0.000   | <b>-0.500</b>                           | 0.500                         | 0.000                         | <b>0.000</b>                     |
| Economic Development - Exertis                 | -0.500                                   | 0.000                         | 0.000   | <b>-0.500</b>                           | 0.500                         | 0.000                         | <b>0.000</b>                     |
| Economic Development - Boost Continuation      | -1.269                                   | 0.730                         | 0.000   | <b>-0.539</b>                           | 0.539                         | 0.000                         | <b>0.000</b>                     |
| Armed Forces Apprentice Costs                  | -1.483                                   | 0.243                         | 0.000   | <b>-1.240</b>                           | 0.240                         | 0.060                         | <b>-0.940</b>                    |
| Early Action /Early Response                   | -0.020                                   | 0.000                         | 0.020   | <b>0.000</b>                            | 0.000                         | 0.000                         | <b>0.000</b>                     |
| Core Systems Transformation                    | -0.657                                   | 0.657                         | 0.000   | <b>0.000</b>                            | 0.000                         | 0.000                         | <b>0.000</b>                     |
| <b>Total on Strategic Investment Reserve</b>   | <b>-4.446</b>                            | <b>1.630</b>                  | <b>0.037</b>                                      | <b>-2.779</b>                           | <b>1.779</b>                  | <b>0.060</b>                  | <b>-0.940</b>                    |

## Annex B – Downsizing and Risk Management Reserves

| DOWNSIZING & RISK MANAGEMENT RESERVES  | Approved at Full Council Feb 2017 | 2017/18 Forecast Spend | 2017-18 transfers to / from other reserves | 2017/18 Forecast Closing Balance | 2018-19 Forecast Spend | 2019-20 Forecast Spend | Total as at 31 March 2020 |
|--|-----------------------------------|------------------------|--|----------------------------------|------------------------|------------------------|---------------------------|
| <u>Downsizing Reserve</u>              | £m                                | £m                     | £m   | £m                               | £m                     | £m                     | £m                        |
| Redundancy provision                   | -17.482                           | 8.422                  | 0.000                                      | <b>-9.060</b>                    | 9.060                  | 0.000                  | <b>0.000</b>              |
| Review for Adult Social Care (Newtons) | -1.431                            | 1.431                  | 0.000                                      | <b>0.000</b>                     | 0.000                  | 0.000                  | <b>0.000</b>              |
| <b>Total on Downsizing Reserve</b>     | <b>-18.913</b>                    | <b>9.853</b>           | <b>0.000</b>                               | <b>-9.060</b>                    | <b>9.060</b>           | <b>0.000</b>           | <b>0.000</b>              |

| <u>Risk Management Reserve</u>   | £m             | £m           | £m           | £m            | £m           | £m           | £m            |
|--|----------------|--------------|--------------|---------------|--------------|--------------|---------------|
| Adults Remodelling Reserve   | -0.784         | 0.433        | 0.000        | <b>-0.352</b> | 0.352        | 0.000        | <b>0.000</b>  |
| Provision to mitigate against risk DoLS- Deprivation of Liberty Safeguards                   | -2.900         | 0.194        | 0.000        | <b>-2.706</b> | 2.706        | 0.000        | <b>0.000</b>  |
| Impact of Fairness Commission Report Council Welfare Provision and the Care and Urgent Needs | -3.000         | 0.000        | 3.000        | <b>0.000</b>  | 0.000        | 0.000        | <b>0.000</b>  |
| Social Work Dedicated Review Team  | -2.454         | 1.089        | 0.000        | <b>-1.365</b> | 1.365        | 0.000        | <b>0.000</b>  |
| Liquid Logic - Children's Services   | -0.001         | 0.000        | 0.001        | <b>0.000</b>  | 0.000        | 0.000        | <b>0.000</b>  |
| Payment of additional allowances when staff are on leave                                     | -1.300         | 1.300        | 0.000        | <b>0.000</b>  | 0.000        | 0.000        | <b>0.000</b>  |
| Waste Insurance Excess   | 0.000          | -0.438       | 0.000        | <b>-0.438</b> | 0.000        | 0.000        | <b>-0.438</b> |
| <b>Total on Risk Management Reserve</b>  | <b>-10.439</b> | <b>2.578</b> | <b>3.001</b> | <b>-4.860</b> | <b>4.422</b> | <b>0.000</b> | <b>-0.438</b> |

## Annex C – Transitional Reserve & Transition of Services Reserve

| TRANSITIONAL RESERVE  | Approved at Full Council Feb 2017 | 2017/18 Forecast Spend | 2017-18 transfers to / from other reserves | 2017/18 Forecast Closing Balance | 2018-19 Forecast Spend | 2019-20 Forecast Spend | Total as at 31 March 2020 |
|---|-----------------------------------|------------------------|--|----------------------------------|------------------------|------------------------|---------------------------|
|   | £m                                | £m                     | £m   | £m                               | £m                     | £m                     | £m                        |
| <b>SPEND FROM THE TRANSITIONAL RESERVE</b>  |                                   |                        |  |                                  |                        |                        |                           |
| Use of reserves in future years as per 26th Nov Cabinet paper - revised in Feb 16 (BoP) 16/17 & 17/18 spend | -17.187                           | 17.163                 | 0.000                                      | -0.024                           | 0.000                  | 0.000                  | -0.024                    |
| Use of reserves in future years to cover revenue shortfall  | -57.106                           | 57.106                 | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Apprentices & Graduate salaries   | -2.778                            | 1.346                  | 0.000                                      | -1.432                           | 1.433                  | 0.000                  | 0.000                     |
| Young Person's Travel   | -0.500                            | 0.500                  | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Prevention and Early Help Fund  | -1.000                            | 1.000                  | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Children Centre provision WPEH  | -0.658                            | 0.613                  | 0.000                                      | -0.045                           | 0.000                  | 0.000                  | -0.045                    |
| Lancs Enterprise Advisor Network  | 0.000                             | 0.050                  | 0.000                                      | 0.050                            | 0.150                  | 0.000                  | 0.200                     |
| Compensation Payments   | -1.235                            | 0.484                  | 0.000                                      | -0.751                           | 0.000                  | 0.000                  | -0.751                    |
| CSC - Leaving Care  | 0.000                             | 0.090                  | 0.000                                      | 0.090                            | 0.000                  | 0.000                  | 0.090                     |
| Museums - One off Contribution to Regimental Consortium   | 0.000                             | 0.207                  | 0.000                                      | 0.207                            | 0.000                  | 0.000                  | 0.207                     |
| Economic Development - Marketing Lancashire and LEP Support   | 0.000                             | 0.650                  | 0.000                                      | 0.650                            | 0.000                  | 0.000                  | 0.650                     |
| Additional investment to support savings implementation   | 0.000                             | 0.250                  | 0.000                                      | 0.250                            | 0.000                  | 0.000                  | 0.250                     |
| Remaining Balance   | -84.782                           | 0.000                  | 0.000                                      | -84.782                          | 0.000                  | 0.000                  | -84.782                   |
| <b>TRANSFERS INTO THE TRANSITIONAL RESERVE</b>  |                                   |                        |  |                                  |                        |                        |                           |
| Council Tax Collection Fund surplus in 2016/17  | 7.720                             | -7.720                 | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Business Rates Collection Fund Surplus 2016/17  | -1.488                            | 1.488                  | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Additional 2017/18 Funding (Business Rates and New Homes Bonus)   | 0.000                             | -0.487                 | 0.000                                      | -0.487                           | 0.000                  | 0.000                  | -0.487                    |
| Transfer to/from other reserves   | 0.000                             | 0.000                  | -6.806                                     | -6.806                           | 0.000                  | 0.000                  | -6.806                    |
| <b>Total on Transitional Reserve</b>  | <b>-159.014</b>                   | <b>72.740</b>          | <b>-6.806</b>                              | <b>-93.081</b>                   | <b>1.583</b>           | <b>0.000</b>           | <b>-91.498</b>            |

| TRANSITION OF SERVICES RESERVE           | Approved at Full Council Feb 2017 | 2017/18 Forecast Spend | 2017-18 transfers to / from other reserves | 2017/18 Forecast Closing Balance | 2018-19 Forecast Spend | 2019-20 Forecast Spend | Total as at 31 March 2021 |
|--|-----------------------------------|------------------------|--|----------------------------------|------------------------|------------------------|---------------------------|
|  | £m                                | £m                     | £m   | £m                               | £m                     | £m                     | £m                        |
| To facilitate the transition of services | -3.000                            | 0.000                  | 3.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |

## Annex D – Service Reserves

| Reserve Name   | Approved at Full Council Feb 2017 | 2017/18 Forecast Spend | 2017-18 transfers to / from other reserves | 2017/18 Forecast Closing Balance | 2018-19 Forecast Spend | 2019-20 Forecast Spend | Total as at 31 March 2020 |
|--|-----------------------------------|------------------------|--|----------------------------------|------------------------|------------------------|---------------------------|
|  | £m                                | £m                     | £m   | £m                               | £m                     | £m                     | £m                        |
| Children's Services Reserve  | -1.534                            | -0.131                 | 0.000                                      | -1.665                           | 0.000                  | 0.000                  | -1.665                    |
| SEN Reform/Implementation Grant  | -2.493                            | 0.249                  | 0.000                                      | -2.244                           | 0.000                  | 0.000                  | -2.244                    |
| Cultural Services Reserve  | -0.385                            | 0.000                  | 0.000                                      | -0.385                           | 0.108                  | 0.068                  | -0.210                    |
| Adult Social Care - Transitional Res   | -2.469                            | 0.000                  | 0.000                                      | -2.469                           | 0.000                  | 0.000                  | -2.469                    |
| Better Care Fund Reserve   | -1.368                            | 0.300                  | 0.000                                      | -1.068                           | 0.000                  | 0.000                  | -1.068                    |
| Bus Stations Reserve   | -0.853                            | 0.756                  | 0.000                                      | -0.097                           | 0.097                  | 0.000                  | 0.000                     |
| Roundabout Sponsorship Inco  | -0.031                            | 0.000                  | 0.031                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Improved Outcomes Partnership  | -0.006                            | 0.006                  | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Waste General Reserve  | -0.178                            | 0.020                  | 0.000                                      | -0.158                           | 0.020                  | 0.020                  | -0.118                    |
| Equipment Renew al Reserve   | -0.005                            | 0.000                  | 0.000                                      | -0.005                           | 0.000                  | 0.000                  | -0.005                    |
| County Hall Refurbishment Work   | -0.727                            | 0.000                  | 0.727                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Economic Development   | -0.027                            | 0.000                  | 0.000                                      | -0.027                           | 0.000                  | 0.000                  | -0.027                    |
| Champions Funds  | -0.004                            | 0.004                  | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Local Member & Gateway Gran  | -0.166                            | 0.166                  | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| NoWCard Renew al Reserve   | -0.300                            | 0.000                  | 0.000                                      | -0.300                           | 0.300                  | -0.060                 | -0.060                    |
| Public Health Grant  | -1.788                            | 1.535                  | 0.000                                      | -0.252                           | 0.017                  | 0.000                  | -0.235                    |
| Emergency Planning   | -0.137                            | 0.025                  | 0.000                                      | -0.112                           | 0.046                  | 0.046                  | -0.021                    |
| Financial Investigations Reserve   | -0.045                            | 0.045                  | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Public Transport Consortium  | -0.371                            | 0.329                  | 0.000                                      | -0.042                           | 0.042                  | 0.000                  | 0.000                     |
| LMCR Grant   | -0.042                            | 0.000                  | 0.000                                      | -0.042                           | 0.042                  | 0.000                  | 0.000                     |
| Support Fund for Shale Gas   | -0.020                            | 0.020                  | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| Syrian Refugee Reserve   | -0.077                            | 0.077                  | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| RDPE Reserve   | -0.011                            | 0.011                  | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| <b>LCC Reserves Sub Total</b>  | <b>-13.038</b>                    | <b>3.412</b>           | <b>0.758</b>                               | <b>-8.867</b>                    | <b>0.670</b>           | <b>0.073</b>           | <b>-8.124</b>             |
| <b>School PFI</b>  |                                   |                        |  |                                  |                        |                        |                           |
| Schools - Fleetwood High School PFI Earmarked  | -0.938                            | 0.079                  | 0.000                                      | -0.859                           | 0.070                  | 0.080                  | -0.709                    |
| Schools – Private Finance Initiative - Building Schools for the Future Phases 1, 2, 2a & 3 | -8.557                            | -0.850                 | 0.000                                      | -9.407                           | -0.490                 | -0.370                 | -10.267                   |
| <b>Not LCC Reserves</b>  |                                   |                        |  |                                  |                        |                        |                           |
| Youth Offending Team Reserve   | -0.946                            | 0.018                  | 0.000                                      | -0.928                           | 0.103                  | 0.000                  | -0.825                    |
| Lancs Safeguarding Children Board Reserve  | -0.443                            | 0.083                  | 0.000                                      | -0.360                           | 0.000                  | 0.000                  | -0.360                    |
| Queen St Engine Repair Fund  | -0.199                            | 0.000                  | 0.000                                      | -0.199                           | 0.099                  | 0.000                  | -0.099                    |
| Lancaster City Gen Acqsts Fund   | -0.009                            | 0.000                  | 0.000                                      | -0.009                           | 0.003                  | 0.003                  | -0.003                    |
| Health Services - Earmarked  | -0.674                            | 0.674                  | 0.000                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| LEP reserve  | -1.862                            | 0.000                  | 0.000                                      | -1.862                           | 0.000                  | 0.000                  | -1.862                    |
| Cap Funding Reserve (Non LCC)  | -0.010                            | 0.000                  | 0.010                                      | 0.000                            | 0.000                  | 0.000                  | 0.000                     |
| DfT Funding for P/Ship (not LCC monies)  | -0.802                            | 0.120                  | 0.000                                      | -0.682                           | 0.000                  | 0.000                  | -0.682                    |
| School Catering Repair And   | -1.827                            | 0.390                  | 0.000                                      | -1.437                           | 1.617                  | 0.000                  | 0.180                     |
| JSNA reserve   | -0.104                            | 0.000                  | 0.000                                      | -0.104                           | 0.000                  | 0.000                  | -0.104                    |
| MADE reserve   | -0.053                            | 0.000                  | 0.000                                      | -0.053                           | 0.000                  | 0.000                  | -0.053                    |
| CC Election Reserve  | -1.599                            | 1.400                  | 0.000                                      | -0.199                           | -0.400                 | -0.400                 | -0.999                    |
| Waste Plant Rectification  | -0.966                            | 0.000                  | 0.000                                      | -0.966                           | 0.000                  | 0.000                  | -0.966                    |
| <b>Non- LCC Reserves Sub Total</b>   | <b>-18.989</b>                    | <b>1.914</b>           | <b>0.010</b>                               | <b>-17.065</b>                   | <b>1.003</b>           | <b>-0.687</b>          | <b>-16.749</b>            |
| <b>GRAND TOTAL</b>   | <b>-32.027</b>                    | <b>5.326</b>           | <b>0.768</b>                               | <b>-25.932</b>                   | <b>1.673</b>           | <b>-0.614</b>          | <b>-24.873</b>            |

# Money Matters - Additional Savings 2018/19 – 2020/21

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## **CYP002 – FAMILY INFORMATION SERVICE**

|  |  |                |              |
|--|--|----------------|--------------|
| <b>Service Name:</b>   | Family Information Service   |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19  |                |              |
| <b>Gross budget 2017/18</b>  | £0.083m  |                |              |
| <b>Income 2017/18</b>  | £0.000m  |                |              |
| <b>Net budget 2017/18</b>  | £0.083m  |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |  |                |              |
|  |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>  | <b>£m</b>      | <b>£m</b>    |
| -0.040   | 0.000  | 0.000          | -0.040       |
| <b>FTE implications:</b>   |  |                |              |
|  |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| -2.00  | 0.00   | 0.00           | -2.00        |
| <b>Decisions needed to deliver the budgeted savings</b>                          | Approval for the delivery of this statutory function through the Customer Access Service.<br><br>Reduction in the revenue budget from 1 <sup>st</sup> April 2018.                    |                |              |
| <b>Impact upon service</b>   | This will involve the transfer of the service to the Customer Access Team.   |                |              |
| <b>Actions needed to deliver the target savings</b>                              | Review the current service provision and seek to find efficiencies through transferring the work to the Customer Access Service. Training of Customer Access staff will be required. |                |              |

### **What does this service deliver?**

The service provides impartial advice and guidance on a full range of childcare services, resources and issues.



**CYP006 – CHILDREN'S SOCIAL CARE – FOSTERING AND RESIDENTIAL**

|  |  |                |              |
|--|--|----------------|--------------|
| <b>Service Name:</b>   | Children's Social Care – Fostering and Residential   |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19  |                |              |
| <b>Gross budget 2017/18</b>  | £63.377m   |                |              |
| <b>Income 2017/18</b>  | £0.000m  |                |              |
| <b>Net budget 2017/18</b>  | £63.377m   |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |  |                |              |
|  |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>  | <b>£m</b>      | <b>£m</b>    |
| -0.800   | 0.000  | 0.000          | -0.800       |
| <b>FTE implications:</b>   |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | <p>Agree to ensure that all education costs of external placement provision are against the Dedicated Schools Grant (DSG) and that all therapeutic costs are charged to Health.</p> <p>Reduction in the revenue budget from 1<sup>st</sup> April 2018.</p>   |                |              |
| <b>Impact upon service</b>   | <p>There is no direct impact on the service, there is however some potential future pressure on the DSG.</p>   |                |              |
| <b>Actions needed to deliver the target savings</b>                              | <p>Resource Panels are now in place in each locality and this will enable the precise health and education charges to be generated. Health costs can then be taken to CCG panels and the recharge agreed. Education recharges will require agreement from the Schools Forum.</p> <p>A clear pathway is to be developed with partners to ensure that at the outset of a placement options will be explored to ensure the best outcome and value for</p> |                |              |

|  |        |
|--|--------|
|  | money. |
|--|--------|

### **What does this service deliver?**

Children's Social Care (CSC) is a statutory service that is delivered by teams of qualified social workers and family support workers, managing statutory casework, supported by a management structure incorporating Practice, Team and Senior Managers, under the authority of a Head of Service and ultimately Director of Children's Services.

The Local Authority is also responsible as the Corporate Parent for those children and young people whose circumstances are such that they are unable to remain with their families. Children's Social Care will work closely with the Fostering, Adoption, SEND (Special Educational Needs and Disabilities) and Residential services to progress permanency for our children looked after and ensure they are provided with maximum opportunity to achieve the best outcomes.

Residential Mainstream: Lancashire currently has 10 mainstream residential units which historically provided 6 placements each. However due to the complexity of the cohort of young people in residential care two of these units now provide care to 3 young people.

Residential Units are inspected at least once every 12 months by Ofsted, and have an additional monitoring visit at least once every 12 months. The Authority also uses agency placements.

#### Fostering Services:

Lancashire's fostering service is responsible for;

- Recruitment of mainstream foster carers, including the assessment and approval at panel.
- Assessment of family and friends as foster carers for their kin.
- Assessment of family and friend members for Special Guardianship Orders.
- Pre and post approval training of foster carers.
- Statutory support to approved foster carers.
- Matching of children to approved foster care placements.

The County Council has both an in-house service and uses agency placements.

## CYP013 – CHILDREN'S SOCIAL CARE

|  |                |   |              |
|--|----------------|---|--------------|
| <b>Service Name:</b>   |                | Children's Social Care – Newton Europe Diagnostic   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19   |              |
| <b>Gross budget 2017/18</b>  |                | £134.272m   |              |
| <b>Income 2017/18</b>  |                | £4.107m   |              |
| <b>Net budget 2017/18</b>  |                | £130.165m   |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |   |              |
|  |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>   | <b>£m</b>    |
| -0.906   | -1.188         | -0.690  | -2.784       |
| <b>FTE implications:</b>   |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>   | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | <p>Newton Europe reviewed all aspects of CSC as part of a diagnostic and estimated savings of between £15m – £21m million were possible. However, this includes some re investment and some stretch.</p> <p>If only cashable savings are identified with no invest to save this is in the region of £2.784m that focuses on service efficiency and effective use of social work time and resource that can be taken forward (with many already underway).</p> |              |
| <b>Impact upon service</b>   |                | <p>More effective and efficient practice which should reduce caseloads. However, significant cultural shift required to move to this way of working. This is consistent with the improvement work post Ofsted.</p>  |              |
| <b>Actions needed to deliver the target savings</b>                              |                | <p>Ensure the current metrics to monitor impact are in place in in Fylde and Wyre as part of the on-going Practice Improvement Model (PIM) work.</p> <p>Governance structure in place to evaluate the impact and then develop roll out.</p>   |              |

|  |   |
|--|---|
|  | Stable and correctly skilled and supported staff team in place in Fylde and Wyre for initial implementation and wider roll out across Lancashire. |
|--|---|

**What does this service deliver?**

Children's Social Care (CSC) is a statutory service that is delivered by teams of qualified social workers and family support workers, managing statutory casework, supported by a management structure incorporating Practice, Team and Senior Managers, under the authority of a Head of Service and ultimately Director of Children's Services.

## CYP027 – LEARNING EXCELLENCE

|  |                |  |              |
|--|----------------|--|--------------|
| <b>Service Name:</b>   |                | Learning Excellence  |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19  |              |
| <b>Gross budget 2017/18</b>  |                | £1.503m  |              |
| <b>Income 2017/18</b>  |                | £1.997m  |              |
| <b>Net budget 2017/1</b>   |                | -£0.494m   |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |  |              |
|  |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>  | <b>£m</b>    |
| -0.158   | -0.158         | -0.473   | -0.789       |
| <b>FTE implications:</b>   |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <i>1.00</i>  | <i>0.00</i>    | <i>0.00</i>  | <i>1.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | <p>Agreement for the service to enter new markets i.e. Other Local Authority areas.</p> <p>Agreement for an increase the workforce by 1.00 fte at Grade 10 for core marketing role to support growth opportunities across all traded services.</p>   |              |
| <b>Impact upon service</b>   |                | <ul style="list-style-type: none"> <li>• Additional training / bedding in period for existing and new staffing, smaller workforce delivering same quantity of work.</li> <li>• Increased exposure, both nationally and internationally, of LPDS curriculum publications thus raising awareness of Lancashire services and increasing income benefiting the council and Lancashire schools in curriculum planning and support.</li> <li>• Improved awareness of how the curriculum can be enhanced to encourage children to be physically active, thus improving health and life chances for young people.</li> <li>• Require policy approval to enter into new markets, i.e. other LA areas to increase market share and dedicated marketing development function and</li> </ul> |              |

|   |  |
|---|--|
|   | allocation of internal resource in Communications (www design and functionality).  |
| <b>Actions needed to deliver the target savings</b> | <ul style="list-style-type: none"> <li>• Policy decision required to enter new markets i.e. other Local Authority areas.</li> <li>• Dedicated resource from Communications Service for web development, presence and interface.</li> <li>• Marketing professional required to aid getting to market.</li> <li>• Service work plan required to redesign current resource to meet work stream requirements.</li> </ul> |

**What does this service deliver?**

Provides high quality professional development for teachers and support staff in schools and settings in Lancashire and more widely across the country.

The team consists of experienced 'Teaching and Learning Consultants' with the potential to cover all primary curriculum and aspect areas.

## CYP028 – MUSIC SERVICE

|  |                |   |              |
|--|----------------|---|--------------|
| <b>Service Name:</b>   |                | Music Service   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19   |              |
| <b>Gross budget 2017/18</b>  |                | £3.113m   |              |
| <b>Income 2017/18</b>  |                | £3.492m   |              |
| <b>Net budget 2017/18</b>  |                | -£0.379m  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |   |              |
|  |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>   | <b>£m</b>    |
| -0.150   | 0.000          | 0.000   | -0.150       |
| <b>FTE implications:</b>   |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>   | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | Agreement for the service to enter new markets i.e. Other Local Authority areas.  |              |
| <b>Impact upon service</b>   |                | <ul style="list-style-type: none"> <li>• Potential loss of market share in Lancashire for Lancashire Music Service as may see increased competition.</li> <li>• Recruitment and increase in management and business support capacity may be required.</li> <li>• These initiatives will increase revenue streams, have a wider impact on young people and raise profile of music with a greater range of stakeholders across the community</li> </ul> |              |
| <b>Actions needed to deliver the target savings</b>                              |                | <ul style="list-style-type: none"> <li>• Partnership dialogue to agree shared objectives.</li> <li>• Visit organisations and complete demonstrations to generate additional income</li> <li>• Review the potential for commercial partnerships, work with charities and look at the opportunity to</li> </ul>   |              |

|  |   |
|--|---|
|  | submit grant applications to secure additional funding. |
|--|---|

**What does this service deliver?**

Lancashire Music Service provides support, advice and tuition to meet the needs of children wishing to learn to play a musical instrument. Tuition is available on all instruments either individually or in groups. The service also enables pupils to develop their musical skills further through a range of bands and orchestras across the county. Whole class instrumental tuition programmes give children an opportunity to learn a musical instrument within Primary or Secondary Schools. Every pupil receives an instrument and the scheme is provided free to pupils. The service also provides support and guidance to Head Teachers, Heads of Music, Music Coordinators and non-specialist teachers through workshops, consultancy, networking opportunities, training events and access to award winning e learning resources.



## CYP029 – OUTDOOR EDUCATION

|  |                |   |              |
|--|----------------|---|--------------|
| <b>Service Name:</b>   |                | Outdoor Education   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19   |              |
| <b>Gross budget 2017/18</b>  |                | £1.503m   |              |
| <b>Income 2017/18</b>  |                | £1.967m   |              |
| <b>Net budget 2017/18</b>  |                | -£0.464m  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |   |              |
|  |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>   | <b>£m</b>    |
| -0.030   | 0.000          | 0.000   | -0.030       |
| <b>FTE implications:</b>   |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>   | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | Agreement for the service to maintain the core Outdoor Education business model and maximise the resource of the sites into different markets.  |              |
| <b>Impact upon service</b>   |                | Increased income will be achieved for each Lancashire Outdoor Education Centre without impacting on core business of delivering outdoor education to the children of Lancashire.  |              |
| <b>Actions needed to deliver the target savings</b>                              |                | <ul style="list-style-type: none"> <li>• Complete Cumbria tourism award</li> <li>• Develop self-catering kitchen in the main house</li> <li>• Update BH conference equipment.</li> <li>• Market our diverse offer (holidays, self-catering weekends, conferencing and team building) in the right places</li> <li>• Liaise with centre teams to develop diverse offer and use their links and other LCC links.</li> <li>• Building on and developing D of E contracts.</li> </ul> <p>Require dedicated support from Communications on front of house presence on web design and functionality. Links to dedicated marketing function listed in template</p> |              |

**What does this service deliver?**

Lancashire Outdoor Education provides outdoor learning opportunities and experiences for children from the early years, primary and secondary education, FE and University through to adulthood. It works both in the mainstream and in the special educational needs sector and with other disability, social and charitable organisations to provide life shaping experiences for both children and adults alike.

## CYP031 – PERFORMANCE PLANNING

|  |                |   |              |
|--|----------------|---|--------------|
| <b>Service Name:</b>   |                | Performance Planning  |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19   |              |
| <b>Gross budget 2017/18</b>  |                | £0.451m   |              |
| <b>Income 2017/18</b>  |                | £0.627m   |              |
| <b>Net budget 2017/18</b>  |                | -£0.176m  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |   |              |
|  |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>   | <b>£m</b>    |
| -0.020   | 0.000          | 0.000   | -0.020       |
| <b>FTE implications:</b>   |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>   | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | Agreement for the service to enter new markets i.e. Other Local Authority areas.  |              |
| <b>Impact upon service</b>   |                | No impact.  |              |
| <b>Actions needed to deliver the target savings</b>                              |                | <ul style="list-style-type: none"> <li>• Dedicated support via Communications to design web presence, functionality and user interface.</li> <li>• Marketing professional required as identified in template CYP027.</li> </ul> |              |

### **What does this service deliver?**

A secure website designed to provide a single point of access to information for schools. The Schools' Portal is Lancashire County Council's primary means of communicating with schools, reduces the bureaucratic burden placed on schools in line with DfE guidelines by providing information in an easy to access electronic format and makes a significant contribution to the authority's efficiencies.

## LD004 – CORONERS SERVICE

|  |  |                |              |
|--|--|----------------|--------------|
| <b>Service Name:</b>   | Coroner Services   |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19  |                |              |
| <b>Gross budget 2017/18</b>  | £2.878m  |                |              |
| <b>Income 2017/18</b>  | £0.000m  |                |              |
| <b>Net budget 2017/18</b>  | £2.878m  |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |  |                |              |
|  |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>  | <b>£m</b>      | <b>£m</b>    |
| -0.175   | 0.000  | 0.000          | -0.175       |
| <b>FTE implications:</b>   |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | <p>Agree to pursue the merger of 3 coronial areas:</p> <ul style="list-style-type: none"> <li>• Blackburn with Darwen</li> <li>• Preston and West Lancashire</li> <li>• East Lancashire</li> </ul> <p>The proposed merger between the three coronial areas would meet the recommendations contained within the previous Chief Coroner's draft guidance on a recommended model that the size of a coroner area should be such that a Senior Coroner receives between 3,000 and 6,000 reported deaths each year and where areas receive less than 2,500 reported deaths they should consider merging with another area. However, the county council does not at this point have the support of BwD Council to progress this proposal. However, if the current coroner retires there will be an opportunity to implement this proposal as the Chief Coroner is likely to agree to a merger.</p> |                |              |
| <b>Impact upon service</b>   | This would result in an improved service.  |                |              |
| <b>Actions needed to</b>   | Actions are already underway. A business case has been   |                |              |

|                                   |  |
|-----------------------------------|--|
| <b>deliver the target savings</b> | submitted and an implementation plan approved. |
|-----------------------------------|--|

**What does this service deliver?**

The County Council has a legal responsibility to provide a Coroner Service and all necessary support for the Coroner so that he is able to carry out his statutory functions. The Coroner is an independent officer of the judiciary but is recruited and remunerated by the County Council. Currently there are four coronial jurisdictions across pan Lancashire. The County Council is the lead authority for two jurisdictions and has funding arrangements in place for the other two jurisdictions where the unitary authorities of Blackburn with Darwen and Blackpool are the lead authority. Proposals to amalgamate three of the jurisdictions (excluding Blackpool) are currently being progressed with the Chief Coroner and Ministry of Justice who are expected to approve the merger which will achieve cost savings.

## CORP002 – HUMAN RESOURCES

|  |  |                |              |
|--|--|----------------|--------------|
| <b>Service Name:</b>   | Human Resources  |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19  |                |              |
| <b>Gross budget 2017/18</b>  | £1.334m  |                |              |
| <b>Income 2017/18</b>  | £0.416m  |                |              |
| <b>Net budget 2017/18</b>  | £0.918m  |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |  |                |              |
|  |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>  | <b>£m</b>      | <b>£m</b>    |
| -0.161   | 0.000  | 0.000          | -0.161       |
| <b>FTE implications:</b>   |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | Agree to increase the income budget within Human Resources to reflect current income levels.   |                |              |
| <b>Impact upon service</b>   | There will be no impact upon the service.  |                |              |
| <b>Actions needed to deliver the target savings</b>                              | There are no actions required to implement this proposal as this is a current over recovery of income that is being reported in 2017/18 budget monitoring. |                |              |

### **What does this service deliver?**

The HR Service provides professional HR services to Lancashire Schools and Council Services on all complex employment matters. Complex employment matters are those that could result in dismissal, litigation claims, and reputational damage to the School or Council and matters that are of media interest. The HR Service has developed key objectives within the People Strategy with a focus on workforce planning, recruitment and retention strategies and further growing traded services to schools.

The HR Service works closely with other services that have a workforce impact so that the delivery of these services can be aligned to the People Strategy and School or the Council's HR policies and procedures. These include, workforce learning and development, workplace health and wellbeing, Occupational Health Services, BTLS HR and Payroll transactional

## COM002b – ASSET MANAGEMENT

|  |                |  |              |
|--|----------------|--|--------------|
| <b>Service Name:</b>   |                | Asset Management   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19  |              |
| <b>Gross budget 2017/18</b>  |                | £31.878m   |              |
| <b>Income 2017/18</b>  |                | £21.865m   |              |
| <b>Net budget 2017/18</b>  |                | £10.013m   |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |  |              |
|  |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>  | <b>£m</b>    |
| -0.858   | 0.000          | 0.000  | -0.858       |
| <b>FTE implications:</b>   |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <i>-1.00</i>   | <i>0.00</i>    | <i>0.00</i>  | <i>-1.00</i> |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | <p>Agree to reduce the following budgets within Asset Management from 1<sup>st</sup> April 2018:</p> <ul style="list-style-type: none"> <li>• Building Schools for the Future (BSF) Revenue - £0.500m</li> <li>• Highways Asset Management - £0.315m</li> <li>• Data Capture and Cleansing - £0.043m</li> </ul>  |              |
| <b>Impact upon service</b>   |                | <p>The reductions relating to BSF revenue and Highways Asset Management will have no impact on service delivery as these are underspends that the service is currently reporting.</p> <p>A review would be required relating to data capture and cleansing capacity and a re-focus of statutory elements e.g. where the Council is required to report data to central government of make it available to members of the public on request.</p> |              |
| <b>Actions needed to deliver the target savings</b>                              |                | Review arrangements and take policy decisions relating to data capturing and cleansing.  |              |



## **What does this service deliver?**

The Asset Management Service provides a range of functions that ensure that the organisation is able to meet its statutory duties including:

- strategic management of LCC's property portfolio (operational and non-operational) helping the delivery of corporate priorities
- strategic commissioner of education provision in Lancashire
- prioritising capital and revenue works
- energy related matters including electricity, fuel and water and energy conservation management
- systematic management and maintenance of highway infrastructure assets
- promotion, recruitment and coordination of volunteering across County Council services

## FR003 – CORPORATE FINANCE

|  |   |                |              |
|--|---|----------------|--------------|
| <b>Service Name:</b>   | Corporate Finance – Insurance Provision   |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19   |                |              |
| <b>Gross budget 2017/18</b>  | £13.270m  |                |              |
| <b>Income 2017/18</b>  | £8.969m   |                |              |
| <b>Net budget 2017/18</b>  | £4.301m   |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |   |                |              |
|  |   |                |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>   | <b>£m</b>      | <b>£m</b>    |
| -1.250   | 0.000   | 0.000          | -1.250       |
| <b>FTE implications:</b>   |   |                |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b> | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>   | <i>0.00</i>    | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | Agree to delay the suggested provision balance of £26m as detailed below which will deliver a recurrent saving of £1.25m from 2018/19.  |                |              |
| <b>Impact upon service</b>   | <p>In July 2015, the Council received a report, from Arthur J Gallacher, that identified the level of provision to be set aside to cover the Council's (including Schools) 'combined liability'. This financial sum is set aside to pay claims up to £1m per claim relating to Public Liability, Employer's Liability and Property Claims. For each policy year, claim costs to the Council are limited to £23m under the current insurance policy.</p> <p>The July 2015 report advised that the Council should set aside £26m to cover the value of outstanding claims. This was based on case data provided by the Council combined with the application of an actuarial approach which estimated the likelihood and value of settlements including that relating to: bodily injury; occupational disease; alleged abuse and neglect.</p> <p>As at the end of 2017/18, the Council is expected to have accumulated a provision of £22m on the balance</p> |                |              |

|  |   |
|--|---|
|  | <p>sheet to cover these relevant claims. In addition to this a recurrent budget of £11.3m is included in the current MTFS from 2018/19.</p> <p>The average net claim cost per year over the last 5 years has been £8.8m. In effect the balance sheet provision is being increased by £2.5m per year.</p> <p>The Council is currently expected to achieve the suggested provision balance of £26m in 2019/20. Delaying the achievement of this provision balance to 2020/21 would deliver a recurrent saving of £1.25m from 2018/19.</p> |
| <p><b>Actions needed to deliver the target savings</b></p> | <p>A monitoring process will need to be put in place to ensure that actuals are falling in line with forecast over the future years.</p>  |

**What does this service deliver?**

The insurance team within the Corporate Finance Team ensure that the Council is adequately and effectively insured to cover its legal liabilities.

## FR005 – CORPORATE FINANCE

|  |                |  |              |
|--|----------------|--|--------------|
| <b>Service Name:</b>   |                | Corporate Finance – Inherited Pension Liability  |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19  |              |
| <b>Gross budget 2017/18</b>  |                | £13.749m   |              |
| <b>Income 2017/18</b>  |                | £0.000m  |              |
| <b>Net budget 2017/18</b>  |                | £13.749m   |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |  |              |
|  |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>  | <b>£m</b>    |
| -1.000   | -0.400         | -0.200   | -1.600       |
| <b>FTE implications:</b>   |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>  | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | <p>Agreement to reduce the amount provided for in the budget to fund inherited pension liabilities.</p> <p>These payments will be impacted by CPI rates and mortality rates. When looking at future projections it is expected that this budget can be reduced in each financial year as detailed above.</p> |              |
| <b>Impact upon service</b>   |                | There will be no impact on the service.  |              |
| <b>Actions needed to deliver the target savings</b>                              |                | A monitoring process will need to be put in place to ensure that actuals are falling in line with forecast over the future years.  |              |

### **What does this service deliver?**

Inherited pension payments are payments that are made on behalf of Lancashire County Council by the pension fund for benefits paid which don't arise from membership of the Local Government Pension Scheme e.g. items such as:

- Mandatory and discretionary Added years granted on early retirement/redundancy for former LCC teachers.

- Injury allowances for former employees of LCC who were injured in their employment.
- Discretionary Added years of service granted to former members of the Local Govt. Pension Scheme who were granted early retirement on the grounds of redundancy/efficiency of the service.
- Other gratuities/compensation payments agreed by LCC.
- Some old non-pensionable service pre-dating the 1974 Local Government reorganisation.

## CMTY002 – DEFECT POTHOLE REPAIRS

|  |   |                |              |
|--|---|----------------|--------------|
| <b>Service Name:</b>   | Highways – Defect Pothole Repairs   |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19   |                |              |
| <b>Gross budget 2017/18</b>  | £2.700m   |                |              |
| <b>Income 2017/18</b>  | £0.000m   |                |              |
| <b>Net budget 2017/18</b>  | £2.700m   |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |   |                |              |
|  |   |                |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>   | <b>£m</b>      | <b>£m</b>    |
| -2.700   | 0.000   | 0.000          | -2.700       |
| <b>FTE implications:</b>   |   |                |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b> | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>   | <i>0.00</i>    | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | Agree to capitalise all defect pothole repairs expenditure. This expenditure is already included within the capital programme funded from a revenue contribution to capital. This would result in borrowing for this expenditure instead of funding from revenue.   |                |              |
| <b>Impact upon service</b>   | There will be no impact on service delivery.  |                |              |
| <b>Actions needed to deliver the target savings</b>                              | In 2016/17 accounts this expenditure was funded through the capital programme with a reversal of the original contribution from revenue. This will also be funded from borrowing in 2017/18 and is currently reported as an underspend within the budget monitoring position at Quarter 1. Therefore no further actions are needed. |                |              |

### **What does this service deliver?**

The county council has a statutory responsibility to maintain the highway network in a fit state to accommodate the 'ordinary traffic which passes or maybe expected to pass' along it; to ensure as far as is reasonably practicable that safe passage along a

highway is not endangered by snow and ice, and prepare and carry out a programme of measures designed to promote road safety.

**CMTY005 – HOUSEHOLD WASTE RECYCLING CENTRES (HWRC) AND WASTE TRANSFER STATIONS (WTS)**

|  |                |   |              |
|--|----------------|---|--------------|
| <b>Service Name:</b>   |                | Waste Services – HWRC & WTS   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19   |              |
| <b>Gross budget 2017/18</b>  |                | £8.403m   |              |
| <b>Income 2017/18</b>  |                | £0.182m   |              |
| <b>Net budget 2017/18</b>  |                | £8.221m   |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |   |              |
|  |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>   | <b>£m</b>    |
| -0.280   | -0.140         | -0.140  | -0.560       |
| <b>FTE implications:</b>   |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>   | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | <p>Policy decision taken on 8 and 9 March 2017.</p> <p>Agree to re-commission the HWRC and WTS services based on a combined insourced and outsourced service model.</p> <p>Agree to the provision of £1m within the capital programme for works required.</p>   |              |
| <b>Impact upon service</b>   |                | <p>Short term resource impacts for delivery of project.</p> <p>Waste service resource re-allocation/re-structuring for management of transferred services.</p> <p>At this stage the actual cost of delivering the service is uncertain due to unknown factors including:</p> <ul style="list-style-type: none"> <li>- The number of staff that will transfer to the council</li> <li>- The revenue cost of items that require procurement</li> <li>- Inexperience in delivery of service under the</li> </ul> |              |



|  |   |
|--|---|
|  | <p style="text-align: center;">proposed service model</p> <p>Should the budget for service delivery be reduced and the actual cost of delivery be higher than anticipated this would impact on the wider waste budget and potentially on delivery of other waste services.</p>  |
| <p><b>Actions needed to deliver the target savings</b></p> | <ul style="list-style-type: none"> <li>• Provision of £1m capital funding.</li> <li>• Procurement of HWRC infrastructure.</li> <li>• Procurement of Transport and Offtakes Contract.</li> <li>• Procurement of offtakes for 'miscellaneous' waste types.</li> <li>• TUPE of HWRC and WTS staff.</li> <li>• Transfer of HWRC and WTS permits.</li> </ul> |

### **What does this service deliver?**

Under the terms of the Environmental Protection Act 1990 Lancashire County Council is a 'Waste Disposal Authority' (WDA). Its role as a WDA is to make arrangements for the processing, treatment and/or disposal of all of the waste collected by district councils in their role as Waste Collection Authorities. The WDA also has a statutory duty to provide places at which householders can deposit household waste; which we do through a network of 15 Household Waste Recycling Centres (HWRCs). More than half a million tonnes of municipal waste is generated in Lancashire each year, every tonne of which the county council must ensure is dealt with.

The Waste Management service delivers some of its activities through third party contracts. These include:

- Composting of garden waste
- Landfilling of residual waste
- Operation of HWRCs
- Operation of waste transfer stations
- Miscellaneous treatment/disposal contracts: including hazardous waste, clinical waste, batteries, tyres, abandoned vehicles, chemicals and animal carcasses.

## **CMTY008 – PROPERTY INSURANCE (Waste Recovery Parks)**

|  |   |                |              |
|--|---|----------------|--------------|
| <b>Service Name:</b>   | Waste Services – Insurance Costs  |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19   |                |              |
| <b>Gross budget 2017/18</b>  | £2.567m   |                |              |
| <b>Income 2017/18</b>  | £0.321m   |                |              |
| <b>Net budget 2017/18</b>  | £2.246m   |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |   |                |              |
|  |   |                |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>   | <b>£m</b>      | <b>£m</b>    |
| -1.000   | 0.000   | 0.000          | -1.000       |
| <b>FTE implications:</b>   |   |                |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b> | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>   | <i>0.00</i>    | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | None. Agreement previously secured to reduce the level of property insurance cover in line with independent risk management advice. Changes to types of cover and excess in order to reduce policy premiums have been made.                 |                |              |
| <b>Impact upon service</b>   | There will be a need for capital expenditure, currently estimated to be less than £1 million, to deliver the recommendations emerging from a risk mitigation strategy being implemented at the Thornton and Farington waste recovery parks. |                |              |
| <b>Actions needed to deliver the target savings</b>                              | None. Procurement of property insurance from July 2017 based on revised specification has been implemented.   |                |              |

### **What does this service deliver?**

Under the terms of the Environmental Protection Act 1990 Lancashire County Council is a 'Waste Disposal Authority' (WDA). Its role as a WDA is to make arrangements for the processing, treatment and/or disposal of all of the waste collected by district councils in their role as Waste Collection Authorities. The WDA also has a statutory

duty to provide places at which householders can deposit household waste; which we do through a network of 15 Household Waste Recycling Centres (HWRCs). More than half a million tonnes of municipal waste is generated in Lancashire each year, every tonne of which the county council must ensure is dealt with.

The Waste Management service delivers some of its activities through third party contracts. These include:

- Composting of garden waste
- Landfilling of residual waste
- Operation of HWRCs
- Operation of waste transfer stations
- Miscellaneous treatment/disposal contracts: including hazardous waste, clinical waste, batteries, tyres, abandoned vehicles, chemicals and animal carcasses.

## CMTY009 – WASTE ARISING

|  |  |                |              |
|--|--|----------------|--------------|
| <b>Service Name:</b>   | Waste Services – Waste Arisings  |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19  |                |              |
| <b>Gross budget 2017/18</b>  | £45.550m   |                |              |
| <b>Income 2017/18</b>  | £5.694m  |                |              |
| <b>Net budget 2017/18</b>  | £39.856m   |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |  |                |              |
|  |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>  | <b>£m</b>      | <b>£m</b>    |
| -0.250   | -0.250   | -0.250         | -0.750       |
| <b>FTE implications:</b>   |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | <p>Agree to a 1% target reduction in waste arisings through investment in mitigating actions. A 1% reduction in residual waste arisings would elicit a saving of £450,000, of which £200,000 would be reinvested annually.</p> <p>Investment in 2017/18 of £250,000 is needed if savings are targeted in 2018/19 and the 2018/19 savings target may need to be revised given the time available to implement actions in 2017/18.</p> |                |              |
| <b>Impact upon service</b>   | <p>Impacts on resources within service for delivery of option.</p> <p>The saving proposed is predicated upon 1% of residual waste being prevented and not simply being moved from residual waste to recycling.</p> <p>Whilst naturally an increase in the amount of residual waste that is recycled would be beneficial to the council, the cost of handling and processing recyclable waste would offset the saving achievable.</p> |                |              |

|   |   |
|---|---|
|   | To target both waste prevention and increases in recycling would require more financial investment and increased staffing resources.  |
| <b>Actions needed to deliver the target savings</b> | Delivery of a robust programme of targeted communications and customer information aimed at achieving both sustainable and social return on investment, focussing on increasing participation in recycling and waste reduction through behavioural change, innovation and creative and digital marketing. It would be proposed to integrate this programme into the development of a revised waste strategy for Lancashire. |

### **What does this service deliver?**

Under the terms of the Environmental Protection Act 1990 Lancashire County Council is a 'Waste Disposal Authority' (WDA). Its role as a WDA is to make arrangements for the processing, treatment and/or disposal of all of the waste collected by district councils in their role as Waste Collection Authorities. The WDA also has a statutory duty to provide places at which householders can deposit household waste; which we do through a network of 15 Household Waste Recycling Centres (HWRCs). More than half a million tonnes of municipal waste is generated in Lancashire each year, every tonne of which the county council must ensure is dealt with.

The Waste Management service delivers some of its activities through third party contracts. These include:

- Composting of garden waste
- Landfilling of residual waste
- Operation of HWRCs
- Operation of waste transfer stations
- Miscellaneous treatment/disposal contracts: including hazardous waste, clinical waste, batteries, tyres, abandoned vehicles, chemicals and animal carcasses.

**PP013 – PLANNING AND ENVIRONMENT (DEVELOPMENT CONTROL – PRE APP ADVICE)**

|  |                |  |              |
|--|----------------|--|--------------|
| <b>Service Name:</b>   |                | Development Control  |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19  |              |
| <b>Gross budget 2017/18</b>  |                | £0.342m  |              |
| <b>Income 2017/18</b>  |                | £0.154m  |              |
| <b>Net budget 2017/18</b>  |                | £0.188m  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |  |              |
|  |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>  | <b>£m</b>    |
| -0.006   | 0.000          | 0.000  | -0.006       |
| <b>FTE implications:</b>   |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>  | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | Agreement to develop a charging scheme, based on research of what other Local Planning Authorities are charging for pre-application planning advice to ensure it does not become a disincentive to developers.   |              |
| <b>Impact upon service</b>   |                | <p>If the uptake of pre-app advice does not reduce as a result of the charging scheme, the quality of applications will be maintained. In turn, this will assist in the speed of determination.</p> <p>The converse is also possible. Charging might reduce the uptake of pre-app advice, especially from smaller companies. In turn this might result in lower quality applications, which will lengthen determination timescales.</p> <p>Schemes of pre-app charging are common in most Councils, and if set appropriately do not affect the uptake of advice from large projects.</p> |              |
| <b>Actions needed to deliver the target savings</b>                              |                | Development of charging scheme, based on research of what other Local Planning Authorities are charging for pre-application planning advice to ensure it does not  |              |

|  |   |
|--|---|
|  | become a disincentive to developers.<br>Implementation of charges when working with developers from 1st April 2018. |
|--|---|

**What does this service deliver?**

This team is responsible for determining planning applications for mineral extraction (including shale gas), and waste proposals and applications for its own development including new schools and road development. The team investigates complaints regarding alleged breaches of planning control in relation to minerals and waste development.

**PP014 – PLANNING AND ENVIRONMENT (NATURAL ENVIRONMENT INFORMATION)**

|  |                |   |              |
|--|----------------|---|--------------|
| <b>Service Name:</b>   |                | Planning: Environmental Information   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19   |              |
| <b>Gross budget 2017/18</b>  |                | £0.636m   |              |
| <b>Income 2017/18</b>  |                | £0.151m   |              |
| <b>Net budget 2017/18</b>  |                | £0.485m   |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |   |              |
|  |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>   | <b>£m</b>    |
| -0.020   | 0.000          | 0.000   | -0.020       |
| <b>FTE implications:</b>   |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>   | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | <p>Agree to increase charges for environmental information.</p> <p>Planning and Environment currently provide an optional service to developers to provide information on the natural environment to assist them in preparing planning applications. Developers are currently charged for this service. There is an opportunity to increase the level of charge to align LCC with other Planning Authorities in the North West.</p> |              |
| <b>Impact upon service</b>   |                | <p>Revised charging scheme will take account of the average charge imposed by Planning Authorities in North West England.</p> <p>This is a service function that is currently provided within the service and this will continue to be the case, with a greater recovery of costs through the revised charging scheme. The function provided will remain as it is.</p>  |              |
| <b>Actions needed to deliver the target</b>                                      |                | Review charging scheme, and ensure compliance with  |              |



|                |  |
|----------------|--|
| <b>savings</b> | legislation.<br><br>Approve revised charging scheme in 2017/18 for implementation in April 2018. |
|----------------|--|

**What does this service deliver?**

The Development Control Team is responsible for determining planning applications for mineral extraction (including shale gas), and waste proposals and applications for its own development including new schools and road development. The team investigates complaints regarding alleged breaches of planning control in relation to minerals and waste development.

The Planning Policy team prepares the Lancashire Minerals and Waste Local Plan, and prepares responses to the emerging Local Plans of district councils.

The Transport Planning team prepares highways and transport master plans for five areas of the county, and also delivers some of the proposals in the plans.

**PP015 – PLANNING AND ENVIRONMENT PUBLIC RIGHTS OF WAY**

|  |                |  |              |
|--|----------------|--|--------------|
| <b>Service Name:</b>   |                | Public Rights of Way   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19  |              |
| <b>Gross budget 2017/18</b>  |                | £0.577m  |              |
| <b>Income 2017/18</b>  |                | £0.144m  |              |
| <b>Net budget 2017/18</b>  |                | £0.433m  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |  |              |
|  |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>  | <b>£m</b>    |
| -0.005   | 0.000          | 0.000  | -0.005       |
| <b>FTE implications:</b>   |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>  | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | Agreement to formalise PROW requirements as part of the planning contributions process (eg S106) and secure an increase in the amount of S106 contributions to the public rights of way network. Income is dependent upon appropriate development proposals coming forward from developers, and developers agreeing with the requests.   |              |
| <b>Impact upon service</b>   |                | <p>In the past, new housing development, especially on greenfield sites, has brought increased pressure on the local public rights of way network. As a result of this new pressure, local paths have been improved or repaired through the Public Rights of Way maintenance budget.</p> <p>In the future, requests will be made for S106 contributions to improve the local PROW network in the same way that the Highway Authority makes requests to mitigate new pressures on the local road network.</p> |              |
| <b>Actions needed to deliver the target savings</b>                              |                | <ul style="list-style-type: none"> <li>Review the process that officers use to identify 106 opportunities and ensure that PROW requirements are fully considered.</li> </ul>   |              |

|  |  |
|--|--|
|  | <ul style="list-style-type: none"><li>• Make requests to district councils to include contributions to PROW in s106 Agreements alongside the request made by LCC as the Highway Authority.</li></ul> |
|--|--|

**What does this service deliver?**

The Public Rights of Way team manages 5,000km of public rights of way in the county, and manages the legal record (Definitive Map) of rights of way.

**PP029 – APPRENTICESHIP LEVY**

|  |                |  |              |
|--|----------------|--|--------------|
| <b>Service Name:</b>   |                | Apprenticeship Levy  |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19  |              |
| <b>Gross budget 2017/18</b>  |                | £1.500m  |              |
| <b>Income 2017/18</b>  |                | £0.000m  |              |
| <b>Net budget 2017/18</b>  |                | £1.500m  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |  |              |
|  |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>  | <b>£m</b>    |
| -0.250   | -0.250         | -0.100   | -0.600       |
| <b>FTE implications:</b>   |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>  | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | Agreement to maximise the opportunity presented by the introduction of the Apprenticeship Levy and reduce internal budgets by any corresponding amounts that would be used to fund training and development.   |              |
| <b>Impact upon service</b>   |                | <p>The Apprenticeship Levy is a new financial mechanism that has been implemented by the Government to encourage the use of apprenticeship programmes within the workplace. LCC has an active Apprenticeship programme but this will need to grow and develop. L&amp;D will be responsible for the management of this as well as the management of the Digital Account.</p> <p>Reprioritisation of training programmes will need to take place to maximise potential income.</p> <p>Continual Professional Development – a significant proportion of the workforce requires this form of training and development. This will not qualify for Apprenticeship Levy funding, but will need to be delivered through L&amp;D.</p> |              |
| <b>Actions needed to deliver the target</b>                                      |                | The implementation of the Apprenticeship Levy has been underway within LCC since notification of the   |              |

|                       |   |
|-----------------------|---|
| <p><b>savings</b></p> | <p>scheme and a number of actions have been put in place to ensure that the County Council complies with the requirement to make the payments. The scheme came in to operation on 1st April 2017 with the first PAYE deduction being made for that month. The money from the April PAYE deduction will be available through the LCC digital account in May 2017.</p> <p>All training costs for new apprentices recruited from April 2017 will be funded through the Digital Account. This includes Business apprentices who have been recruited to start later in the year.</p> <p>Work in on-going with services to quantify all training and training qualification needs for new and existing staff and identify opportunities to link these to the apprenticeship standards. Where it is possible and feasible for the service to convert existing training programmes into apprenticeships this will be done.</p> <p>The LCC digital account is live and the systems for use have been established, the co-ordination and administration of the digital account for the authority will be undertaken by the Learning and development service.</p> <p>Decisions will be required from services to convert training programmes into Apprenticeships where appropriate. There is a minimum requirement within the qualifying criteria that Apprenticeship training is for a minimum of 12 months and requires at least 20% of Apprentice time 'off the job'. This is a significant requirement and commitment for services to provide, and not all training will require this level of provision.</p> <p>Review and development of long term service specific workforce development plans outlining training requirements, including apprentice recruitment programmes.</p> <p>Capture of all training budgets and training costs currently held within service budgets. This will ensure that all training procured by the authority goes through a robust 'Apprenticeship' challenge process to ensure that all training that can be paid for through the Levy is captured.</p> |
|-----------------------|---|

**What does this service deliver?**

The Learning and Development (L&D) service is responsible for advising on, developing, delivering and building the County Council's skills, development and engagement capability within our own staff – to underpin and enable achievement of our Corporate Plan and to help us, through our People, to navigate change successfully. The L&D service has skilled officers and support staff, working and specialising across the full breadth of Lancashire County Council, working with partner organisations engaged in our wider workforce, with Further Education Institutions (FEI's) and Higher Education Institutions (HEI's) and with regional networks to lead and improve skills within our region.

The main function areas are:

1. Social Work Academy Development
2. Business Systems Development
3. Organisational Development
4. Front line Operational Development

## ASC001b – LEARNING DISABILITY SERVICE

|  |                |   |              |
|--|----------------|---|--------------|
| <b>Service Name:</b>   |                | Learning Disability Service – Supported Living  |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19   |              |
| <b>Gross budget 2017/18</b>  |                | £105.970m   |              |
| <b>Income 2017/18</b>  |                | £7.421m   |              |
| <b>Net budget 2017/18</b>  |                | £98.549m  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |   |              |
|  |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>   | <b>£m</b>    |
| -1.723   | -0.413         | -0.522  | -2.658       |
| <b>FTE implications:</b>   |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| -6.74  | -18.29         | -23.10  | -48.13       |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | <p>Agree to continuation of the programme to remodel supported living services to lower the costs of care packages over a 3 year period.</p> <p>Agree that the remodelling team remains in place and continues to be funded from reserves at an estimated cost of £0.600m per annum.</p>  |              |
| <b>Impact upon service</b>   |                | <p>Adults with learning disabilities will very likely continue to receive support to live in their own home. However, undertaking individual reviews may lead to other housing and support options being identified and chosen by the individual or agreed through a 'best interest decision'.</p> <p>The remodelling process seeks to ensure individuals receive the support required as determined through assessment of needs and support planning and identify the ways in which the provider can manage the shared support across the tenancies.</p> |              |

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|   | There will be reductions in the overall size of the social care workforce if packages of care reduce and providers of the services will have to restructure their workforce accordingly.   |
| <b>Actions needed to deliver the target savings</b> | <ul style="list-style-type: none"> <li>• Learning Disability and Autism Team allocation of staff to undertake assessment and review work.</li> <li>• Stakeholder consultation - people using the service, families etc.</li> </ul> |

### **What does this service deliver?**

Many adults with learning disabilities live in supported accommodation. These are ordinary houses where usually 3 or 4 people live together with a 24 hour staff team employed to support them. Most of these services are run by independent agencies, either voluntary organisations or private sector organisations, but there are also significant supported accommodation services run by the County Council itself and by NHS.

Across Lancashire, there are about 2,000 people with learning disabilities and/or autism living in supported living. Over time and for many reasons a significant number of vacancies, in excess of 150 and rising each year, have built up. These vacancies mean many of the supported accommodation arrangements do not represent best value for the local authority.

There are therefore two teams working across the county responsible for remodelling supported living schemes to ensure that people receive services that are still effective at meeting their needs, while also ensuring better value for the County Council.

Any decisions regarding a change of accommodation may involve the Court of Protection who need to ensure decisions are made in the best interests of the people to be supported.

There is also a staff team who are primarily responsible for reviewing adults living in residential care. The team is primarily focussing on people who live outside Lancashire, supporting them to return to live nearer to family possibly into supported accommodation which is less restrictive and more cost effective.



## ASC002 – DISABILITY SERVICE

|  |                |   |              |
|--|----------------|---|--------------|
| <b>Service Name:</b>   |                | Disability Service – Shared Lives   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19   |              |
| <b>Gross budget 2017/18</b>  |                | £0.802m   |              |
| <b>Income 2017/18</b>  |                | £0.025m   |              |
| <b>Net budget 2017/18</b>  |                | £0.777m   |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |   |              |
|  |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>   | <b>£m</b>    |
| -0.180   | -0.415         | -0.414  | -1.009       |
| <b>FTE implications:</b>   |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <i>8.00</i>  | <i>0.00</i>    | <i>0.00</i>   | <i>8.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | Agree to invest c£0.240m in additional staff resource to expand Shared Lives which is typically a more cost effective way of supporting adults in settled accommodation compared to alternatives such as supported accommodation, residential care or short break services.   |              |
| <b>Impact upon service</b>   |                | <p>The Service is currently delivering the last year of growth in long term placements as the culmination of the last year of a previous adult social care savings programme.</p> <p>This is a cost effective and progressive model of support. This savings option should ensure continued growth of the Shared Lives Service on the basis that growth continues to offer a cost effective alternative and reduces future lifetime costs of supporting individuals. The service itself does not cease or reduce, but expands. It will add in an additional 50 placements over a 3 year period.</p> <p>The service is judged 'Outstanding' by CQC but if it is to further expand this additional investment is needed to maintain the operational effectiveness of the service, and</p> |              |

|   |   |
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|   | its high quality and standards.   |
| <b>Actions needed to deliver the target savings</b> | Funding made available for an increase in the existing officer and staffing structure to manage the programme, comply with CQC regulations, standards and the increase in placements. |

### **What does this service deliver?**

The Shared Lives Service (formerly known as the Adult Placement Service) is family-based care provided by individuals and families which enables adults and older people to share in ordinary family and community life, as well as helping people to develop their strengths and abilities. The Shared Lives service offers personal and tailor-made support around people's needs, specifically for those who do not need, or want care, provided within a care home or a supported tenancy. There are currently 297 carers supporting 380 adults with a range of learning disabilities, physical disabilities and older adult in the early stages of dementia. The service offers both long and short term placements.

Types of support include; personal routines or health care needs including help with getting dressed, using the bathroom, eating healthily, taking medication, support to become more independent with activities such as cooking, laundry, handling money and support around complex communication needs or with health issues. The shared lives service is registered with CQC and received a rating of 'Outstanding' in 2016.

## ASC025 – LEARNING DISABILITY SUPPORTED LIVING PLACEMENT VOIDS

|  |                |   |              |
|--|----------------|---|--------------|
| <b>Service Name:</b>   |                | Learning Disability & Autism – Supported Living Placement Voids   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19   |              |
| <b>Gross budget 2017/18</b>  |                | £105.970m   |              |
| <b>Income 2017/18</b>  |                | £7.421m   |              |
| <b>Net budget 2017/18</b>  |                | £98.549m  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |   |              |
|  |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>   | <b>£m</b>    |
| -0.250   | -0.250         | 0.000   | -0.500       |
| <b>FTE implications:</b>   |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>   | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | <p>Across Lancashire, there are about 2,000 people with learning disabilities and/or autism living in supported living. Over time and for many reasons a significant number of vacancies arise and build up in these tenancies, in excess of 150 and rising each year. These vacancies mean many of the supported accommodation arrangements do not represent best value for the local authority as we pay some existing support costs and also in some cases housing benefit rent voids or for the tenants with increased bills etc.</p> <p>Agree to apply the existing under-occupancy policy to all schemes with voids and review schemes which are no longer fit for purpose and unlikely to be filled to reduce the overall capacity by around 50 vacancies. This will significantly reduce LCC exposure to rent &amp; support void liability.</p> <p>Agree to reduce the provision of traditional supported accommodation to the required level, but will still leave the Authority with sufficient supported living options to meet current and future demand.</p> |              |

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|   | <p>Agreement to direct Learning Disability &amp; Autism Remodelling &amp; Review Team staffing resource to this project (September 2017)</p> <p>Agreement of policy principles (October 2017)</p> <p>Agreement to put a Supported Housing Framework in place (2018)</p> <p>Agreement to enhance the use (and revisit the policy to charge for) assistive technology (March 2018)</p>   |
| <b>Impact upon service</b>                          | <p>This proposal (to apply the under-occupancy policy) is already underway. It should be noted that due to existing Housing Management Agreements that are on place it may take longer to cease some arrangements, but work is being undertaken with Housing Providers to try to reach a mutual agreement to cease any punitive arrangements.</p>  |
| <b>Actions needed to deliver the target savings</b> | <ul style="list-style-type: none"> <li>• Update the "cost/benefit" analysis of termination/continuation of HMA's</li> <li>• Accommodation Strategy amended to reflect future plans</li> <li>• Review of all service users in under-occupied schemes</li> <li>• Review of all current schemes to determine those not fit for purpose</li> <li>• Negotiation with Housing Providers to terminate existing agreements</li> <li>• Demographic analysis to determine future requirements</li> <li>• Stakeholder consultation</li> </ul> |

### **What does this service deliver?**

Many adults with learning disabilities live in supported accommodation. These are ordinary houses where usually 3 or 4 people live together with a 24 hour staff team employed to support them. Most of these services are run by independent agencies, either voluntary organisations or private sector organisations but there are also significant supported accommodation services run by the County Council itself and by NHS.

Across Lancashire, there are about 2,000 people with learning disabilities and/or autism living in supported living. Over time and for many reasons a significant number of vacancies, in excess of 150 and rising each year, have built up. These vacancies mean many of the supported accommodation arrangements do not represent best value for the local authority. The running cost of bills for the remaining tenants is also more expensive

## **ASC026 – LEARNING DISABILITY ENABLEMENT**

|  |   |   |              |
|--|---|---|--------------|
| <b>Service Name:</b>   |   | Learning Disability & Autism - Enablement |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |   | 2018/19                                   |              |
| <b>Gross budget 2017/18</b>  |   | £105.970m                                 |              |
| <b>Income 2017/18</b>  |   | £7.421m                                   |              |
| <b>Net budget 2017/18*</b>   |   | £98.549m                                  |              |
| <b>*Total LDA commissioned care within pooled fund budget</b>                    |   |   |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |   |   |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b>                            | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>   | <b>£m</b>                                 | <b>£m</b>    |
| -0.161   | -0.929  | -0.283                                    | -1.373       |
| <b>FTE implications:</b>   |   |   |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b>                            | <b>Total</b> |
| <i>18.00</i>   | <i>0.00</i>   | <i>0.00</i>                               | <i>18.00</i> |
| <b>Decisions needed to deliver the budgeted savings</b>                          | <p>Agree to the creation of a new service to deliver outcome focussed, time limited enablement support to adults using existing social care services, with a particular focus on adults with learning disabilities to become more independent and less reliant on formal paid support.</p> <p>Agree to establishment of new team at a cost of c£0.591m to implement the invest to save proposal.</p> <p>This is an invest to save programme over a 2 year period.</p>                     |   |              |
| <b>Impact upon service</b>   | <p>This would be delivered to adults with learning disabilities living typically in supported living settings, but also to those living within families and in receipt of council services and also to those in transition to adult services.</p> <p>The function of the service is to deliver time limited enablement, which will improve the ability of the adult to live more independently and either avoid higher cost packages being arranged early on (as in transition group)</p> |   |              |

|   |  |
|---|--|
|   | or lead to a reduction in the level of packages of care for those in e.g. supported living.  |
| <b>Actions needed to deliver the target savings</b> | <ul style="list-style-type: none"> <li>• Recruitment of a new team as detailed above.</li> <li>• Consultation with providers and other stakeholders regarding the service, the process and where this fits with the supported housing framework and remodelling activity.</li> </ul> |

### **What does this service deliver?**

The function of the Enablement service is to teach adults with learning disabilities new skills that will lead to improvements in their ability to live more independently and a decrease in the need for a service.

Adults with disabilities often need support with everyday living skills such as laundry, cooking, travelling safely and managing money. The function of the new service will be to assess an individual's potential to become more independent and to then be taught and learn new skills through a bespoke enablement plan designed by the team. The team will provide both direct support during the period of enablement and work closely with providers of services to support them to deliver the enablement plans.

The proposal for the new service has arisen from the design phase of the Adults Passport to Independence Programme. During the design period a small pilot was undertaken with individuals in different settings; family home, shared lives, supported living to test the potential and benefits for increased independence. The outcome determined that 89.5% adults with learning disabilities could be living more independent lives.

The enablement team will work closely with the learning disability and autism service remodelling and review team. The review team will refer individuals to the service who have the potential for increased independence will then undertake a review following the period of enablement to reflect any changes required to the overall package of care.

## ASC034 – DEMAND AND PRICE ASSUMPTIONS

|  |  |                |              |
|--|--|----------------|--------------|
| <b>Service Name:</b>   | Adult Services   |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19  |                |              |
| <b>Gross budget 2017/18</b>  | £380.663m  |                |              |
| <b>Income 2017/18</b>  | £79.381m   |                |              |
| <b>Net budget 2017/18</b>  | £301.282m  |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |  |                |              |
|  |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>  | <b>£m</b>      | <b>£m</b>    |
| -5.022   | -7.280   | -9.201         | -21.503      |
| <b>FTE implications:</b>   |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | Agreement to update the Medium Term Financial Strategy price and demand assumptions to reflect the reductions detailed above.  |                |              |
| <b>Impact upon service</b>   | <p>There will be no impact on the service.</p> <p>The current Medium Term Financial Strategy (MTFS) includes forecasts for both changes to the level of resources received but also the forecast future cost of providing services which is affected by inflationary pressures (price paid) and increased demand for services (demographic volume) which can also be impacted by the increasing complexity of individuals being supported.</p> <p>The current MTFS demand assumptions on Adult Social Care are largely based on historical trends in increasing activity, covering both absolute increases in the numbers of individuals receiving support and the increasing average cost of meeting their identified needs (e.g. individuals receiving more hours of care on average over time).</p> |                |              |

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|  | <p>The historical increases in demand have significantly varied between client groups and, in the majority of cases, have been significantly higher than what would have been expected from normal demographic changes to these cohorts. This has arisen for a number of reasons including the advent and growth of personalisation, market capacity and system pressures across the NHS etc. The demand and price increases for the next three years have been reviewed alongside the 2016/17 actual outturn data, understanding of backlog positions, and the impact of the prevention service provision, national indicators, local service user numbers, future demographics, benchmarking and an LGA review of the forecast demand and price levels.</p> <p>Nationally no large increases in the numbers of individuals being supported other than on Older People services is being experienced or predicted although the cost of care and proportion of Council's budgets being spent on social care is significantly increasing putting considerable pressure on the system. This reflects the increasing complexity of individuals supported, impacted by increasing life expectancies for adults with disabilities with related issues such as the ability of ageing carers to continue to provide informal care.</p> <p>The base for the required increases has also been reviewed to ensure demand is only budgeted for on those areas that are specifically demand led.</p> <p>This has resulted in a reduction in the budget required to manage these revised predicted increases over the time period 18/19-20/21 as the assumptions previously built in are not supported by current evidence.</p> |
| <p><b>Actions needed to deliver the target savings</b></p> | <p>The MTFs to be updated to reflect the figures detailed above.</p>   |



**ASC053 – FEE INCOME FROM PROVIDING LCC MANAGEMENT SUPPORT INTO FAILING INDEPENDENT SECTOR REGISTERED RESIDENTIAL AND NURSING HOMES**

|  |   |                |                |              |
|--|---|----------------|----------------|--------------|
| <b>Service Name:</b>   | Older People Service – Management support into failing independent sector CQC registered services   |                |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19   |                |                |              |
| <b>Gross budget 2017/18</b>  | £23.149m  |                |                |              |
| <b>Income 2017/18</b>  | £22.101m  |                |                |              |
| <b>Net budget 2017/18</b>  | £1.048m   |                |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |   |                |                |              |
|  | <b>2018/19</b>  | <b>2019/20</b> | <b>2020/21</b> | <b>Total</b> |
|  | <b>£m</b>   | <b>£m</b>      | <b>£m</b>      | <b>£m</b>    |
|  | -0.060  | 0.000          | 0.000          | -0.060       |
| <b>FTE implications:</b>   |   |                |                |              |
|  | <b>2018/19</b>  | <b>2019/20</b> | <b>2020/21</b> | <b>Total</b> |
|  | <i>0.00</i>   | <i>0.00</i>    | <i>0.00</i>    | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | <p>Agree to an expansion of an existing in-house service which supports the improvement and turnaround of failing independent sector services (typically those rated inadequate/requires improvement). This service is already provided on the basis the provider agrees to accept LCC management input and agrees to pay a charge or fee to LCC.</p> <p>Agree to charge a weekly fee instead of invoicing on basis of staff time delivered into the service– ensuring a simpler process for all parties to understand when the offer is made.</p> <p>Agree to setting the fee at £2,500 per week. It is also recommended that a process of receiving a deposit and direct debit system for payment is established before work commences.</p> |                |                |              |

|   |  |
|---|--|
| <b>Impact upon service</b>                          | This proposal puts the service on a firmer business footing and as such is expected to generate additional income.   |
| <b>Actions needed to deliver the target savings</b> | Ensure systems and appropriate documentation are in place including contracts to ensure that the service can be offered and the income can be secured from the provider. |

### **What does this service deliver?**

LCC operates 17 residential homes (with a further home due to open in September 2017) for older people throughout Lancashire, with at least one home in each of the twelve district council areas and about 770 places in total. They offer a range of service models to meet the individual needs of older people depending on whether they need a long term placement, specialist dementia care, rehabilitation or other step down services.

The service employs a number of effective and experienced managers, and in the last 2 years they have regularly been deployed into independent sector residential or nursing homes that have been judged by CQC and/ or LCC and /or CCG to require significant and rapid improvements to safeguard the health and well-being of the residents, and to ensure there is compliance with regulations.

Producing an accurate forecast of the potential income from this service is not straightforward as it is dependent on how many services fall into such difficulties and formally request and agree LCC input to support improvement. A conservative estimate that two services will need such input for 12 weeks each per year has been used to calculate the saving. More providers requesting and receiving such help will mean a greater level of income.

## CAS002 – CUSTOMER ACCESS SERVICE

|  |   |                |              |
|--|---|----------------|--------------|
| <b>Service Name:</b>   | Customer Access Service   |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19   |                |              |
| <b>Gross budget 2017/18</b>  | £5.895m   |                |              |
| <b>Income 2017/18</b>  | £2.235m   |                |              |
| <b>Net budget 2017/18</b>  | £3.660m   |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |   |                |              |
|  |   |                |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>   | <b>£m</b>      | <b>£m</b>    |
| -0.013   | -0.040  | 0.000          | -0.053       |
| <b>FTE implications:</b>   |   |                |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b> | <b>Total</b> |
| -3.00  | 0.00  | 0.00           | -3.00        |
| <b>Decisions needed to deliver the budgeted savings</b>                          | <p>Agree to restructure the support functions across the customer access service. This would be achieved through increased automation and self-service.</p> <p>This saving is linked heavily to technology and will need to be tested robustly and process changes made. This therefore means this saving will be deliverable from 1<sup>st</sup> January 2019.</p> |                |              |
| <b>Impact upon service</b>   | <p>If managed in line with the other options proposed by CAS and the technology implementation, the reduction in support will be manageable by within CAS. The dependencies are therefore critical.</p>   |                |              |
| <b>Actions needed to deliver the target savings</b>                              | <p>Define exact details of restructure and impact assess the proposal.</p> <p>Link to technology deliverables and complete robust testing and process plans.</p> <p>Agree timescales and communicate out within the business, including any formal consultation needed.</p>   |                |              |

## **What does this service deliver?**

Customer Access Service (CAS) is the first point of contact for 60% of all incoming telephony and email enquiries to Lancashire County Council. Our Service strategic plan has been for additional services to be delivered by CAS in order to better serve the citizens of Lancashire whilst improving costs and efficiency. The service is structured and divided into two distinct operational areas:

1. Within the dedicated Social Care Centre a highly specialised and sensitive service is delivered, offering information, advice and assistance on all matters relating to Adult & Children's Social Care. Requests ranging from simple ones such as meals on wheels applications are processed all the way through to handling more complex child and adult safeguarding contacts.
2. Within the Customer Contact Centre twenty six services are delivered including: Highways, Ask HR, Libraries, NoWcard Concessionary Travel, Registration, Certificates, Waste, and Welfare Rights. Alongside these also sits a signposting service to direct customers to other agencies across the public sector, district councils and partner organisations.

## CAS004 – CUSTOMER ACCESS SERVICE

|  |  |                |              |
|--|--|----------------|--------------|
| <b>Service Name:</b>   | Customer Access  |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19  |                |              |
| <b>Gross budget 2017/18</b>  | £5.895m  |                |              |
| <b>Income 2017/18</b>  | £2.235m  |                |              |
| <b>Net budget 2017/18</b>  | £3.660m  |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |  |                |              |
|  |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>  | <b>£m</b>      | <b>£m</b>    |
| -0.020   | 0.000  | 0.000          | -0.020       |
| <b>FTE implications:</b>   |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <i>-1.00</i>   | <i>0.00</i>  | <i>0.00</i>    | <i>-1.00</i> |
| <b>Decisions needed to deliver the budgeted savings</b>                          | <p>Agree to cease Lancashire House reception cover from 1<sup>st</sup> April 2018.</p> <p>As a non-public facing building, it is feasible to remove this service and have all services based at Lancashire House implement alternative arrangements to greet visitors.</p> |                |              |
| <b>Impact upon service</b>   | A different approach to visitors to the building, ie each service to take responsibility of their own.   |                |              |
| <b>Actions needed to deliver the target savings</b>                              | <p>Wide spread communication to the teams working in Lancashire House including a briefing on the Intranet.</p> <p>Liaison and advice to be sought from Facilities Management.</p>   |                |              |

### **What does this service deliver?**

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## CAS009 – CUSTOMER ACCESS SERVICE

|  |                |   |              |
|--|----------------|---|--------------|
| <b>Service Name:</b>   |                | Customer Access   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2019/20   |              |
| <b>Gross budget 2017/18</b>  |                | £5.895m   |              |
| <b>Income 2017/18</b>  |                | £2.235m   |              |
| <b>Net budget 2017/18</b>  |                | £3.660m   |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |   |              |
|  |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>   | <b>£m</b>    |
| 0.000  | -0.118         | -0.056  | -0.174       |
| <b>FTE implications:</b>   |                |   |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>  | <b>Total</b> |
| <i>0.00</i>  | <i>-6.00</i>   | <i>-2.75</i>  | <i>-8.75</i> |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | <p>Agree to implement telephony automation.</p> <p>This is part of the Genesys toolkit and is to be delivered in Phase 2 of the project. This automation would direct callers to named officers in LCC or known extensions, removing the need to speak to a Customer Service Assistant. It has been estimated that this would be applied to approximately 20% of callers to the main signposting number and 50% of Social Care signposting calls.</p> |              |
| <b>Impact upon service</b>   |                | <p>If managed effectively this proposal for telephony automation will be positive for both the customer and the business, fast tracking callers to their requested destination without the need to speak to a Customer Service Assistant.</p>   |              |
| <b>Actions needed to deliver the target savings</b>                              |                | <p>Work would need to be completed on the "technical build" of the system and the service would be reliant on BTLS and Anana to deliver the system to implement this saving.</p> <p>It has been highlighted that in order to complete this work a new corporate telephony directory is required</p>   |              |

|  |  |
|--|--|
|  | linked to user log ins (AD log ins). This new directory will be require a new corporate approach to maintaining the directory. |
|--|--|

### **What does this service deliver?**

Customer Access Service (CAS) is the first point of contact for 60% of all incoming telephony and email enquiries to Lancashire County Council. Our Service strategic plan has been for additional services to be delivered by CAS in order to better serve the citizens of Lancashire whilst improving costs and efficiency. The service is structured and divided into two distinct operational areas:

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## CAS010 – CUSTOMER ACCESS SERVICE

|  |                |  |              |
|--|----------------|--|--------------|
| <b>Service Name:</b>   |                | Customer Access  |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2019/20  |              |
| <b>Gross budget 2017/18</b>  |                | £5.895m  |              |
| <b>Income 2017/18</b>  |                | £2.235m  |              |
| <b>Net budget 2017/18</b>  |                | £3.660m  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |  |              |
|  |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>  | <b>£m</b>    |
| 0.000  | -0.060         | 0.000  | -0.060       |
| <b>FTE implications:</b>   |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <i>0.00</i>  | <i>-3.00</i>   | <i>0.00</i>  | <i>-3.00</i> |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | Agree to implement blended email in Customer Access Service Social Care and Ask HR. This is an element of the Customer Access Service technology project Phase 2. This software has already been successfully deployed in the corporate service contact centre within the service. |              |
| <b>Impact upon service</b>   |                | The deployment of this technology will benefit the customer and the business and will be a more effective use of resources.  |              |
| <b>Actions needed to deliver the target savings</b>                              |                | <p>Define exact details of restructure and impact assess the proposal.</p> <p>Link to technology deliverables.</p> <p>Agree timescales and communicate out within the business, including any formal consultation needed.</p>  |              |

## **What does this service deliver?**

Customer Access Service (CAS) is the first point of contact for 60% of all incoming telephony and email enquiries to Lancashire County Council. Our Service strategic plan has been for additional services to be delivered by CAS in order to better serve the citizens of Lancashire whilst improving costs and efficiency. The service is structured and divided into two distinct operational areas:

3. Within the dedicated Social Care Centre a highly specialised and sensitive service is delivered, offering information, advice and assistance on all matters relating to Adult & Children's Social Care. Requests ranging from simple ones such as meals on wheels applications are processed all the way through to handling more complex child and adult safeguarding contacts.
4. Within the Customer Contact Centre twenty six services are delivered including: Highways, Ask HR, Libraries, NoWcard Concessionary Travel, Registration, Certificates, Waste, and Welfare Rights. Alongside these also sits a signposting service to direct customers to other agencies across the public sector, district councils and partner organisations.

# Money Matters - Additional Savings 2018/19 – 2020/21

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**CYP011 – SEND SERVICE – SENDIASS/CFSD TEAM**

|  |                |  |              |
|--|----------------|--|--------------|
| <b>Service Name:</b>   |                | SEND Service – Information Advice and Support (IAS) Team   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19  |              |
| <b>Gross budget 2017/18</b>  |                | £0.701m  |              |
| <b>Income 2017/18</b>  |                | £0.000m  |              |
| <b>Net budget 2017/18</b>  |                | £0.701m  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |  |              |
|  |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>  | <b>£m</b>    |
| -0.265   | 0.000          | 0.000  | -0.265       |
| <b>FTE implications:</b>   |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| -6.00  | 0.00           | 0.00   | -6.00        |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | <p>Agree to a job evaluation and function review of the recently merged Information Advice &amp; Support Team.</p> <p>Reduce the revenue budget from 1<sup>st</sup> April 2018 by £0.265m.</p>   |              |
| <b>Impact upon service</b>   |                | <p>The SEND Code of Practice (CoP) does not preclude the Information Advice &amp; Support Team sitting within the SEND Service.</p> <p>IASSN Quality Standards provides measures to demonstrate the IAS is impartial. These include:</p> <ul style="list-style-type: none"> <li>• The team having its own distinct identity and logo</li> <li>• Contact to the team through a separate phone line from other LA services.</li> <li>• An impartiality policy.</li> <li>• A steering group overseeing its operation with parent/carer membership.</li> </ul> <p>A single team sat within the SEND service is best placed</p> |              |

|  |  |
|--|--|
|  | <p>to be aware and continue to be updated on SEND local policy and practices and thus provide children and young people with SEND and their families with IAS.</p> <p>The team developing and updating the Local Offer are best placed to provide accurate and up-to-date IAS on the Local Offer.</p> <p>Children and young people with SEND and their families are provided with a clear 'front door' into the SEND Service, which will quickly identify needs and are directed to the most appropriate service. An 8.45am – 5pm Monday to Friday, dedicated IAS telephone help line, would form part of this 'front door'.</p> <p>The new team would use the proposed SEND IT platform which will ensure that co-production is developed as all the needed information is available in one location with an option for confidential records, if requested by the family.</p> <p>A triage system will target intensive support to vulnerable groups of parent/carers whilst still providing a service to all parent/carers.</p> |
| <p><b>Actions needed to deliver the target savings</b></p> | <p>A recent review of the teams looked at current operating inefficiencies and duplications that will be addressed by the implementation of the merger and new focus and ways of working.</p>  |

**What does this service deliver?**

The Special Educational Needs and Disability Support Service provides statutory identification, assessment, intervention and monitoring for children and young people from birth to 25 with special educational needs and disabilities (SEND) and their families.

Information, Advice and Support is a dedicated information advice and support service is for children and young people with special educational needs and disabilities and their families.

## FR001 – EXCHEQUER SERVICES

|  |                |  |              |
|--|----------------|--|--------------|
| <b>Service Name:</b>   |                | Exchequer Services   |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |                | 2018/19  |              |
| <b>Gross budget 2017/18</b>  |                | £4.268m  |              |
| <b>Income 2017/18</b>  |                | £1.575m  |              |
| <b>Net budget 2017/18</b>  |                | £2.693m  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |                |  |              |
|  |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>      | <b>£m</b>  | <b>£m</b>    |
| -1.300   | -0.600         | 0.000  | -1.900       |
| <b>FTE implications:</b>   |                |  |              |
| <b>2018/19</b>   | <b>2019/20</b> | <b>2020/21</b>   | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>  | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          |                | <p>Approval to implement a revised staffing structure, subject to consultation.</p> <p>The revised staffing structure will involve:</p> <ul style="list-style-type: none"> <li>• Some delayering of management posts.</li> <li>• Change of grade mix and reconfiguration of posts to recognise efficiencies and to invest in growth areas that will deliver additional income streams to the County Council such as social care service users, review of Direct Payments, increased provision of Financial Safeguarding services and Deferred Payments arrangements.</li> <li>• Whilst there is no overall reduction in posts the overall restructure will yield a recurring annual revenue saving on staffing costs of £0.153m.</li> <li>• Furthermore changes are expected to generate an additional £1.590m of income relating in the main to Re-Assessment activity, further review of Direct Payments, Financial Safeguarding and Deferred Payments arrangements.</li> <li>• Overall therefore the full year revenue effect of</li> </ul> |              |

|   |  |
|---|--|
|   | <p>the final staffing restructure is:-</p> <p>Reduction in staffing costs   £   0.153m<br/> Increase in income               £   1.590m<br/> Homecare funding               £   0.157m</p> <hr style="width: 20%; margin-left: auto; margin-right: 0;"/> <p style="text-align: right;">£ 1.900m saving</p>   |
| <b>Impact upon service</b>                          | <p>The programme of improvement work started in the current financial year (2017/18) must continue implementation to ensure that transition into the staffing restructure is seamless.</p> <p>Much of the envisaged change is predicated upon the fuller and consistent implementation of initiatives which have already been implemented and are securing the predicted revenue streams, albeit with temporary staff.</p> <p>The ultimate universal adoption in Exchequer of Lean thinking initiatives, drives to Flexible working, paperless activity and working smarter - as laid out in the Exchequer Service plan - are expected to be key enablers of the new staffing structure which help to potentiate its effect and achievement of target savings.</p> |
| <b>Actions needed to deliver the target savings</b> | <p>Over and above our normal business activity and the dictates of our adopted Service Plan for 2017/18 the main action needed to deliver these savings is to give effect to the Staffing Restructure and this will involve consultation and filling of the structure in accordance with proper practice</p>   |

### What does this service deliver?

1.1. Exchequer Services provides the following services to our customers and consumers in the following areas:-

- Financial assessments
- Deferred payments
- Deprivation
- Direct payments to individuals
- Cashiering
- Debt management
- Billing of Income
- Deputyship & Appointee services
- Payments re Children's services & Schools
- Payments re Adult's services
- Payments re Property, Highways and Companies
- Payments re other Corporate entities



- 1.2. Our services are mainly office based, utilising expert systems to process transaction streams which typically involve payment, billing and receipt of income or debt management functions.

We also conduct financial assessment services for social care service users & this involves peripatetic work where assessment staff usually conduct financial assessments in service user's homes.

- 1.3. We work for most service areas in the County Council who use a wide range of our services with Social Care being our largest internal customer.
- 1.4. Consumers of our services cover a broad spectrum of stakeholders including Public Bodies, Social Care service users, private individuals and companies which trade with the County Council.

## CMTY011 – HIGHWAY LINES AND SIGNS RENEWAL

|  |   |                |              |
|--|---|----------------|--------------|
| <b>Service Name:</b>   | Highways – Lines and Signs  |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19   |                |              |
| <b>Gross budget 2017/18</b>  | £1.000m   |                |              |
| <b>Income 2017/18</b>  | £0.000m   |                |              |
| <b>Net budget 2017/18</b>  | £1.000m   |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |   |                |              |
|  |   |                |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>   | <b>£m</b>      | <b>£m</b>    |
| -0.500   | 0.000   | 0.000          | -0.500       |
| <b>FTE implications:</b>   |   |                |              |
| <b>2018/19</b>   | <b>2019/20</b>  | <b>2020/21</b> | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>   | <i>0.00</i>    | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | <p>Agree to a reduction in the refreshing of road markings and replacement of traffic signs and only safety critical will be renewed or where enforcement is required.</p> <p>Safety critical works would include for example the renewal of solid centre line marks (no overtaking), junction give way and stop lines, solid edge of carriageway markings, formal pedestrian crossing points and school zig zag markings. Traffic signs would be maintained to meet statutory requirements and design standards. Warning signs would be maintained where there is evidence of a significant casualty record.</p> |                |              |
| <b>Impact upon service</b>   | <p>Minor reduction (no FTE reductions) in sign shop workload. Increase in third party claims and requests for and complaints about non-critical works.</p> <p>A lower standard of service (less reflective/faded signs and markings) could increase the risk of collisions. Less use of contractors. Reduced sign clutter.</p>  |                |              |

|   |  |
|---|--|
| <b>Actions needed to deliver the target savings</b> | <p>Clear guidance to highway staff to limit spend to safety critical or enforcement works only.</p> <p>Service reduction proposal to form part of budget consultation.</p> |
|---|--|

**What does this service deliver?**

The county council has a statutory responsibility to maintain the highway network in a fit state to accommodate the 'ordinary traffic which passes or maybe expected to pass' along it; to ensure as far as is reasonably practicable that safe passage along a highway is not endangered by snow and ice, and prepare and carry out a programme of measures designed to promote road safety.

**ASC052 – OLDER PERSONS IN-HOUSE RESIDENTIAL SERVICES - SELF FUNDER FEES**

|  |  |  |              |
|--|--|--|--------------|
| <b>Service Name:</b>   |  | Adults Older People - In-House Residential Care Homes for Older People |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> |  | 2018/19  |              |
| <b>Gross budget 2017/18</b>  |  | N/A  |              |
| <b>Income 2017/18</b>  |  | £4.476m  |              |
| <b>Net budget 2017/18</b>  |  | N/A  |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |  |  |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b>   | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>  | <b>£m</b>  | <b>£m</b>    |
| -0.237   | -0.238   | -0.280   | -0.755       |
| <b>FTE implications:</b>   |  |  |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b>   | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>  | <i>0.00</i>  | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | <p>Agree that existing self-funders who live in LCC operated residential care homes for older people pay fees at the current self-funding rate and are subject to normal yearly increases reflecting inflationary based uplifts.</p> <p>Agree that all newly admitted self-funders rates pay at the new rate. It is expected to be fully implemented over a three year period as existing self-funders end their stay.</p> <p>Agree to the indicative new fees as follows (subject to yearly inflationary fee increase):</p> |  |              |

|   | <table border="1"> <thead> <tr> <th></th> <th>Older People</th> <th>Dementia</th> </tr> </thead> <tbody> <tr> <td>Current Rate for LCC funded residents in LCC homes</td> <td>£489.76</td> <td>£525.38</td> </tr> <tr> <td>Current Self-funder rate in LCC Homes</td> <td>£518.00</td> <td>£549.85</td> </tr> <tr> <td>Approx Proposed Self-funded rate in LCC Homes</td> <td><b>£640.00</b></td> <td><b>£670.00</b></td> </tr> </tbody> </table>  |                | Older People | Dementia | Current Rate for LCC funded residents in LCC homes | £489.76 | £525.38 | Current Self-funder rate in LCC Homes | £518.00 | £549.85 | Approx Proposed Self-funded rate in LCC Homes | <b>£640.00</b> | <b>£670.00</b> |
|---|--|----------------|--------------|----------|--|---------|---------|---------------------------------------|---------|---------|---|----------------|----------------|
|   | Older People   | Dementia       |              |          |  |         |         |                                       |         |         |   |                |                |
| Current Rate for LCC funded residents in LCC homes  | £489.76  | £525.38        |              |          |  |         |         |                                       |         |         |   |                |                |
| Current Self-funder rate in LCC Homes               | £518.00  | £549.85        |              |          |  |         |         |                                       |         |         |   |                |                |
| Approx Proposed Self-funded rate in LCC Homes       | <b>£640.00</b>   | <b>£670.00</b> |              |          |  |         |         |                                       |         |         |   |                |                |
| <b>Impact upon service</b>                          | <p>LCC meet the costs of approx. 45% of older people in residential and nursing care home. However about 45% of individuals (or their families) pay the full cost for their care homes places directly to the provider – these people are generally known as 'Self Funders'.</p> <p>Income is also generated via people assessed as able to pay part of the cost of their care and other funding bodies such as the NHS and other LA's; also pay for the services. The financial sustainability of services therefore depends on the overall balance between income from these sources and the costs of running the services.</p> <p>This is the same position for the County Council's own 17 residential services for older people with about 30% of its residents 'self-funding'.</p> <p>Within LCC Older peoples services increases for self-funding service users are usually agreed in January of each year. In 2016/17, an inflationary uplift based on the uplift to LCC local authority rate of 4.17% was applied to full cost paying service users within our own residential homes.</p> <p>So if this proposal is adopted older people who are admitted from April 2018 and self-fund their places in LCC operated care homes will face increased fee levels which will better reflect the 'market rate'.</p> |                |              |          |  |         |         |                                       |         |         |   |                |                |
| <b>Actions needed to deliver the target savings</b> | <ul style="list-style-type: none"> <li>• Implement new rates April 2018 change letters and information posters for homes etc.</li> <li>• At January each year decide on percentage rise for old rate and new rate for self funders.</li> <li>• Implement as business as normal each subsequent year</li> </ul>   |                |              |          |  |         |         |                                       |         |         |   |                |                |

**What does this service deliver?**

LCC provides 17 residential homes (with a further home due to open in September 2017) for older people throughout Lancashire, with at least one home in each of the twelve district council areas.

16 homes have specialised dementia units and presently eight homes have dedicated Community bed units providing rehabilitation and recuperation and supporting hospitals to discharge patients in a timely fashion.

## PH011 – SEXUAL HEALTH

|  |  |                |              |
|--|--|----------------|--------------|
| <b>Service Name:</b>   | Sexual Health Services   |                |              |
| <b>Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21</b> | 2018/19  |                |              |
| <b>Gross budget 2018/19</b>  | £8.339m  |                |              |
| <b>Income 2018/19</b>  | £0.000m  |                |              |
| <b>Net budget 2018/19</b>  | £8.339m  |                |              |
| <b>Savings Target and Profiling (discrete year):</b>                             |  |                |              |
|  |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <b>£m</b>  | <b>£m</b>  | <b>£m</b>      | <b>£m</b>    |
| -0.500   | 0.000  | 0.000          | -0.500       |
| <b>FTE implications:</b>   |  |                |              |
| <b>2018/19</b>   | <b>2019/20</b>   | <b>2020/21</b> | <b>Total</b> |
| <i>0.00</i>  | <i>0.00</i>  | <i>0.00</i>    | <i>0.00</i>  |
| <b>Decisions needed to deliver the budgeted savings</b>                          | Agree to reduce the sexual health by £0.500m from the sexual health budget. The service was recommissioned recently on a tariff basis, and underspent in 2016/17.        |                |              |
| <b>Impact upon service</b>   | No major impact on access or quality of the service is anticipated. The service will continue to monitor the activity levels and manage the financial risks accordingly. |                |              |
| <b>Actions needed to deliver the target savings</b>                              | No actions are required to implement this proposal.  |                |              |

### **What does this service deliver?**

The scope of sexual health services commissioned by LCC include:

- Contraception and advice on preventing unintended pregnancy
- Sexually transmitted infection (STI) testing and treatment including chlamydia screening and HIV testing

- Sexual health aspects of psychosexual counselling
- Young people's sexual health services including outreach, HIV prevention and sexual health promotion



**Money Matters**  
**The County Council's Financial Position**  
**2017/18 Quarter 1 Capital Monitoring**

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## 1. Introduction

The 2017/18 Capital Programme budget approved by the County Council in February 2017 totalled £126.184m relating to LCC (non-LEP) activity.

In subsequent months changes have been made to the programme as detailed in Table 1. This has resulted in additions to the programme to the value of £38.948m and £6.299m re-profiled to later years. The changes that have been made are all as a result of Cabinet decisions and include all decisions up to and including the July Cabinet.

A full review of the existing capital programme is currently underway identifying unallocated budgets, and it is important to note that this report has been produced using the new Programme and Project Management System (PPMS) system for the first time, and is a snap shot in time looking back at the first 3 months of this financial year. Project managers will be constantly managing delivery of their projects and updating PPMS on a regular basis so it is expected that the position will change between monitoring reports.

**Table 1: Capital Programme (following July Cabinet)**

| Service Area                        | Delivery Programme Agreed at Full Council February 2017 (A)<br>£m | Changes since February 2017 up to July Cabinet |   | 2017/18 New Programme of Delivery (A+B+C)<br>£m |
|-------------------------------------|---|--|---|---|
|                                     |   | Cabinet Decisions (B)<br>£m                    | Reprofiling to future years following Cabinet Decisions (C)<br>£m |   |
| Schools (incl. DFC)                 | 32.320  | 5.531  | -0.413  | <b>37.438</b>                                   |
| Highways Maintenance                | 45.977  | 10.042   | -1.026  | <b>54.993</b>                                   |
| Transport Improvement Scheme        | 26.582  | 3.450  | -0.636  | <b>29.396</b>                                   |
| Adult Social Care                   | 0.562   | 14.431   | -0.562  | <b>14.431</b>                                   |
| Children and Young People's Service | 3.014   | 1.585  | 0.326   | <b>4.925</b>                                    |
| Waste and Other Projects            | 2.023   | 0.350  | -1.552  | <b>0.821</b>                                    |
| Corporate Programmes                | 12.276  | 3.209  | -1.436  | <b>14.049</b>                                   |
| Vehicle replacement programme       | 3.430   | 0.350  | -1.000  | <b>2.780</b>                                    |
| <b>Total Programme</b>              | <b>126.184</b>  | <b>38.948</b>                                  | <b>-6.299</b>   | <b>158.933</b>                                  |

## **2. Quarter 1 - Forecast Outturn 2017/18**

Table 2 presents the Quarter 1 forecast position for 2017/18 programme showing the projected 2017/18 outturn position, the variance against budget in value and percentage in addition to the expenditure to date as at the end of June 2017 (this is also shown as a value and percentage of budget to assess progress against the years programme).

At the end of June 2017 the 2017/18 programme of delivery is expected to spend £1.221m less than the agreed profile. This variance is a combination of 3 types of variance as set out below, and further details can be seen in Section 3 of this report:

- projects forecasting to overspend
- projects forecasting to underspend
- as many projects are over a number of years, projects can spend less or more in year than their anticipated spend profile

Where unallocated budgets are identified this does not necessarily indicate that the funds will not be spent in year; rather they have not yet been programmed as a specific project. It is normal for areas to have an element of unallocated/unprogrammed funds early in a financial year.

It should be noted that this is a Quarter 1 forecast and further information and increased clarity will be forthcoming in Quarter 2. Individual risks are identified within Section 3 of this report.

**Table 2: Quarter 1 Full Year Forecast**

| Service Area                                     | 2017/18 Programme of Delivery | 2017/18 Full Year Forecast Outturn | Variance      | % Variance    | Quarter 1 Actuals          |                                |
|--|-------------------------------|------------------------------------|---------------|---------------|----------------------------|--------------------------------|
|  | £m                            | £m                                 | £m            |               | 2017/18 spend at June 2017 | % of budget spent at June 2017 |
| Schools (excluding Devolved Formula Capital DFC) | 34.805                        | 32.243                             | -2.562        | -7.36%        | 3.132                      | 9.00%                          |
| Schools DFC                                      | 2.633                         | 2.633                              | 0.000         | 0.00%         | 0.000                      | 0.00%                          |
| Children and Young People's Service              | 4.925                         | 7.858                              | 2.933         | 59.55%        | 1.120                      | 22.74%                         |
| Waste and Other Projects                         | 0.821                         | 0.752                              | -0.069        | -8.40%        | 0.593                      | 72.23%                         |
| Adult Social Care                                | 14.431                        | 13.500                             | -0.931        | -6.45%        | 12.565                     | 87.07%                         |
| Corporate Programmes                             | 14.049                        | 13.790                             | -0.259        | -1.84%        | 2.826                      | 20.12%                         |
| Vehicle Replacement Programme                    | 2.780                         | 3.050                              | 0.270         | 9.71%         | 0.478                      | 17.19%                         |
| Transport improvement Scheme                     | 29.396                        | 28.793                             | -0.603        | -2.05%        | 2.248                      | 7.65%                          |
| Highways Maintenance                             | 54.993                        | 54.993                             | 0.000         | 0.00%         | 16.216                     | 29.49%                         |
| <b>Totals</b>                                    | <b>158.833</b>                | <b>157.612</b>                     | <b>-1.221</b> | <b>-0.77%</b> | <b>39.178</b>              | <b>24.67%</b>                  |

Table 2 reports that actual spend to date accounts for c25% of the total programme delivery expected in 2017/18, which gives assurance that the expected programme of delivery is on target. The Quarter 2 monitoring report will be produced on a multi-year basis with updated forecasts. This will provide a clearer view of the entire programme.

### 3. Detailed Variance Analysis

#### 3.1 Schools

**Spend less than budget of £2.562m is forecast against the current 2017/18 re-profiled capital programme. This can be summarised as follows:**

- £0.120m of overspends on 2017/18 budgets indicated by Project Manager forecasts on PPMS. Thirty three projects are forecasting small overspends of less than £0.001m. The largest single forecast overspend is on the Ribbleton

Avenue re-felting project which is forecast to overspend by £0.020m due to the tender coming in higher than anticipated.

- There is a total of £1.009m of underspends on 2017/18 budgets forecast by project managers on PPMS across 12 projects.

The total forecast underspend is largely due to the forecast insurance monies to be received relating to the Leyland St Mary's fire estimated at £0.600m, not profiled in 2017/18.

Other notable variances include the Leyland Northbrook project originally forecast to be on site has been cancelled due to tender issues, resulting in an underspend £0.204m against the 2017/18 budget. This has been re-tendered in 2017/18 and the funding will be reallocated to the new project. The St George's Basic Need project is estimate to come in under budget by approximately £0.080m.

- Spend less than budget of £3.479m is forecast due to delivery ahead of the profiled delivery programme during 2016/17 across 25 projects. This early delivery resulted in expenditure ahead of schedule in 2016/17 and consequently lower expenditure in later years. Notably, this relates to £1.7m expenditure in 2016/17 for Weeton Primary. In addition, Chorley Trinity, Chorley St George and Balshaw Lane have in total spent £0.8m more than programmed within 2016/17.
- £2.734m of slippage from 2016/17 is anticipated; this is associated with the difficulty in estimating the phasing of expenditure at the outset of projects.

The delivery programme was originally profiled in 2016/17 for around 90 projects where delivery has either genuinely slipped into 2017/18 due to delays or final valuation payments and fees have been incurred into 2017/18 on projects in the very final stages of completion. Many of these variances are less than £0.100m and around 60% concern projects in the final stages.

Notable slippage variances are incurred on a small number of projects:

- West End School demolition works which slipped by £0.292m in 2016/17 due to ecology and asbestos survey issue but the works are now going ahead of Summer 2017.
- Morecambe Lancaster Road was officially handed over in September 2016 but has approximately £0.167m of final fees and retention payments which will be incurred in 2017.
- Of the £0.500m emergency dry rot projects agreed in 2016/17, £0.238m was spent in year, with the remaining £0.262m to be incurred in 2017/18 together with the further funding recently approved.
- The Preston Larches project delivery incurred £0.177m of slippage against the 2016/17 budget due to delays in agreeing a deliverable project within budget and also issues affecting delivery on site.

- £0.926m of un-programmed budget profiled to be spent in 2017-18 is uncommitted at this time and therefore reported as not being spent in year at Quarter 1. This refers to risk/contingency monies budgeted as part of the £15.9m 2017/18 condition starts programme per a report to Cabinet on 5<sup>th</sup> April 2017. As these projects are not yet on site, it is considered unlikely that any contingency spend will be incurred in year.

*Other notes/comments -.*

- £19m of new Basic Need and Schools Condition projects (105 projects) to start in 2017 were approved in late 2016/17 and added to the 2017/18 budget. These projects account for 51% of the 2017/18 budget. There is little spend against these schemes to date while design work progresses and tenders are agreed. These projects will be delivered into 2018/19. The current budget requires re-profiling in accordance with projected delivery time frames once tenders have been agreed. As such, no forecast variance from the profiled budget has been included until a delivery timeframe to monitor against is agreed and approved as appropriate. These projects are forecast as fully spent but flagged as a significant slippage risk until they are re-profiled, this position will be updated in Quarter 2 monitoring.
- The largest project under the school capital programme is the Euxton Balshaw Lane Basic Need project, which has a total budget of £3.900m, of which £3.500m is profiled to be spent in 2017/18. Of this, £0.130m was delivered ahead of this profiling during 2016/17. The project is anticipated to be completed within time and budget.
- A remaining amount of £0.685m of contingency budget relating to the 2015/16 start condition programme is profiled in 2017/18. It has not been allocated to projects at this time but forecast as fully committed until the programme is completed.

Although only 9% of the programme has currently been spent, the above forecast is considered robust as the majority of the expenditure takes place during school summer holidays.

### **3.2 Children and Young People**

**A forecast spend greater than budget of £2.933m is forecast on the current 2017/18 profiled delivery programme. This is explained as follows:**

- £4.250m forecast expenditure ahead of the 2017/18 profile relating to the contribution to City Deal budget re Preston Youth Zone. This profile will result in a lower spend in later years.
- £1.181m of expenditure slipped from 2016/17 into 2017/18. £1.100m of this is expenditure relating to the contribution to Chorley Borough Council for the Chorley Youth Zone. This was originally profiled to be passported in 2016/17 but has slipped into 2017/18 due to delays in agreeing the legal contracts.

£0.080m relates to final payments on smaller projects that will be expended in 2017/18.

- £2.499m slippage from 2017/18 budget into future years. Part of this relates to an unallocated budget in the Residential Redesign programme, some of which was profiled to be spent in 2017/18 on two proposed disabilities overnight short breaks units. £2.200m of this unallocated budget now remains after a change was made in 2014/15 to re-allocate £2.100m to the Preston Bus Station budget. It has not yet been agreed which of the proposed overnight short break units will go ahead as construction of both is not viable within the remaining budget. As such, no expenditure is forecast until revised plans are presented to a future Cabinet. In addition, the Tower Wood replacement jetties project is forecast at slipping by £0.222m as the identified contractor no longer wishes to undertake the work and the planning permission has expired, a replacement contractor and renewal of the planning permission is being sought. There is a further £0.035m of slippage forecast on a small number of other projects.

### **3.3 Vehicles**

**Spend greater than budget of £0.270m is forecast on the current 2017/18 profiled budget. This is explained as follows:**

This variance relates to forecast expenditure of £2.870m on vehicle replacement against a budget of £2.300m. In addition, £0.180m is forecast to be spent in 2017/18 on Mobile Libraries with the remainder in 2018/19 (total £0.480m). Expenditure is fully committed in this area.

### **3.4 Highways**

**A net nil position is forecast on the current 2017/18 profiled programme of delivery, that is, full programme delivery is expected at this point. This is explained as follows:**

The Quarter 1 forecast is for expenditure to be on budget as more detailed work on the individual schemes is needed in terms of delivery milestones and financial impacts once schemes requirements are firmed up. Quarter 2 monitoring will contain more detailed analysis of the block position however Quarter 1 monitoring has highlighted the following:

Within the 2017/18 actual spend to date of £16.216m, £11.780m relates to projects where the budget was in earlier years. These projects are part of the 2017/18 programme of delivery.

In addition to earlier year schemes there are also 232 schemes which have a combined 2017/18 budget of £12.600m but where there is no spend in Quarter 1 on the schemes to date. The delivery status on these will be outlined in the Quarter 2 monitoring report, for the purposes of this report it has been assumed that delivery will be as per the approved programme given that many of these schemes will not have been programmed to start in Quarter 1.



There is £8.000m of unallocated budgets within Highways which relate to 2017/18 or prior years, this does not include the additional £5.000m added at the July Cabinet for which schemes have been allocated and are currently being added to PPMS. As mentioned at the beginning of this report much of the currently unallocated funds will be programmed throughout the year, with the Quarter 2 report providing more details.

### 3.5 Corporate

**A net spend less than budget of £0.259m is forecast on the current 2017/18 profiled delivery programme. This is explained as follows:**

- County Hall Refurbishment – A forecast variance in 2017/18 of £0.800m (£0.500m is slippage from 2016/17, £0.100m is in advance of the 2018/19 budget and the balance £0.2m is a forecast project overspend) Available to spend within PPMS is £0.322m and additional contractor payment of c£0.365m are expected along with other fees and costs which are likely to lead to a project cost overrun.
- Property Rationalisation Programme - Revised Budget £2.627m only £0.003 spend to date. Forecast assumes £0.159m slippage in 2017/18.
- Within Economic Development there is slippage on Brierfield Mill of £0.700m (slipped from 2016/17) and £1.200m of unallocated budget which is forecast as not being spent in 2017/18.
- Green Energy – Renewable Energy Schemes County Buildings are forecast underspend in 2017/18 of £0.700m. Only two schemes have been started with estimated expenditure of £0.251m in 2017/18 and in addition £2.7m is unallocated.
- Core Systems – slippage of £0.300m from 2016/17.

*Other notes/comments:*

- Superfast Extension Project – Budget of £1.930m with no spend to date. The forecast assumes all budget will be spent in 2017/18 but not including the amount that slipped from 2016/17 as there is a risk that it might not catch up.
- Property Rationalisation Programme Dilapidations - Revised Budget £0.500m only £0.053m spend to date. The forecast assumes the budget will be spent.
- Unallocated Budgets totalling £8.7m as detailed below:-
  - Economic Development £3.269m – reserved for future priorities, including £1.200m from 2017/18.
  - Property Rationalisation Dilapidations on terminated or surrendered leases - £1.475m.
  - Property Rationalisation Neighbourhood centres - Feasibility Studies/Signs - £0.189m.
  - Green Energy Fund support for Lancashire Businesses – £1.000m

- Green Energy Fund Renewable Energy Schemes – County Buildings - £2.7m.
- Structural maintenance unallocated - £0.067m.

### 3.6 Transport

**Spend less than budget of £0.603m is forecast on the current 2017/18 profiled budget. This is explained as follows:**

The variance to profiled budget relates to slippage from earlier years on existing cycle safety and road safety schemes. New cycle safety and road safety schemes will be profiled in October 2017.

The rest of the programme is forecast to be on programme delivery.

*Other notes/comments:*

- 2017/18 Bus Stop Compliance - £0.020m remains to be programmed. Forecast to finish 2015/16 and 2016/17 projects by the end of July 2017 then commencement of the 2017/18 programme. There is a risk of slippage on 2017/18 projects.
- 2017/18 Public Rights of Way - £0.250m budget programmed out into projects, with a number with no spend to date. Assurance has been sought and provided by project managers that the programme will be spend as per approved delivery programme.
- Heysham - completion certificate issued on the 31st May 2017 which represents the start of the 12 month defect period. Work is still being undertaken on minor defects including landscaping along with compensation quotes being prepared. Some lighting and traffic regulation works are almost complete. The project manager is awaiting the draft stage 3 Safety Audit. On target to fully spend all of 2017/18 budget.
- City Deal - £2.500m contribution to City Deal is fully committed and will be transferred in the final quarter.
- Pennine Reach - The programme of work has encountered some land acquisition issues at Frank Street. In addition, as a result of some issues around land tribunals at Accrington Bus Station costs have come in over budget (£0.357m excluding court fees). The project has been included in the 2017/18 forecast but is at risk of slipping into 2018/19.
- Skelmersdale Rail Link - £3.380m has been approved for 2017/18 the rail link in West Lancashire, It is estimated that the full budget will be spent within the financial year. This will be reviewed in quarter 2.

### **3.7 Adults and Community**

**Spend less than budget of £0.931m is forecast on the current 2017/18 profiled budget. This is explained as follows:**

A variance of £0.931m has currently been forecast against the un-programmed budget amounts which relate to libraries and the new additions from Cabinet. Work is currently underway to load new projects within PPMS along with expenditure profiling. This will be further outlined within the Quarter 2 report.

Work is also currently underway to finalise actions to the authority's old peoples' homes for fire safety and general up-grades which will make the facilities fit for purpose moving forward.

### **3.8 Waste**

**Spend less than budget of £0.069m is forecast on the current 2017/18 profiled budget. This is explained as follows:**

A £0.069m variance is forecast due to slippage relating to the Fire Suppression Systems at Thornton and Farrington. Currently the project is on hold pending the implementation of a risk mitigation strategy. Spend in Quarter 1 relates to the Asset Preservation project which is now fully spent.



**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of Service - Procurement****Part I**

Electoral Divisions affected:  
All

**Procurement Report - Request Approval to Commence Procurement Exercises**  
(Appendix 'A' refers)

Contact for further information:

Rachel Tanner, (01772) 534904, Head of Service - Procurement

[rachel.tanner@lancashire.gov.uk](mailto:rachel.tanner@lancashire.gov.uk)

**Executive Summary**

In line with the County Council's procurement rules, this report sets out a recommendation to approve the commencement of three procurement exercises:

- (i) Lancashire Fostering Framework Agreement;
- (ii) Lancashire Break Time Framework Agreement;
- (iii) Supply and Delivery of Cleaning Materials.

These are deemed to be Key Decisions and the provisions of Standing Order No.25 have been complied with.

**Recommendation**

The Cabinet is recommended to approve the commencement of the procurement exercises as set out in Appendix 'A' for the areas identified above.

**Background and Advice**

Appendix 'A' of this report sets out the details of the individual procurement exercises, and the basis upon which it is proposed to carry out the processes including:

- the description of the service being procured;
- the estimated annual contract value and the funding position;
- the contract duration;
- the proposed basis for the evaluation of the tender submissions.

Where approval has been received from the Cabinet to undertake a tender process which is deemed to be a Key Decision, the subsequent award of the Contract on the

satisfactory completion of the tender exercise shall not be deemed a Key Decision and can be approved by the relevant Head of Service or Director.

On the conclusion of the procurement exercises, the award of the contracts will be made under the County Council's Scheme of Delegation to Heads of Service, and in accordance with the Council's procurement rules.

### **Consultations**

Relevant Heads of Service and key operational staff have been consulted in drawing up the proposals to undertake the procurement exercises included within this report.

### **Implications:**

This item has the following implications, as indicated:

### **Risk management**

Failure to take steps to lawfully procure new contracts and continuing with current arrangements would contravene the Council's procurement rules and the Public Contract Regulations 2015. Furthermore, failure to award the contract may result in the county council facing difficulty in delivering these services.

### **Financial**

There are no financial implications as a result of this report, as the estimated values of contracts are in line with current budget for each service area.

### **List of Background Papers**

| Paper             | Date      | Contact/Tel                  |
|-------------------|-----------|------------------------------|
| Procurement Rules | July 2016 | Rachel Tanner (01772 534904) |

Reason for inclusion in Part II, if appropriate

N/A

|   |                               |                             |                               |
|---|-------------------------------|-----------------------------|-------------------------------|
| <p><b>Cabinet Member</b><br/>Cabinet Member for Children, Young People and Schools</p>  |                               |                             |                               |
| <p><b>Procurement Title</b><br/>Lancashire Fostering Framework Agreement</p>  |                               |                             |                               |
| <p><b>Procurement Option</b><br/>OJEU – Open Tender</p>   |                               |                             |                               |
| <p><b>New or Existing Provision</b><br/>Existing. Current contract end date 04/04/2018</p>  |                               |                             |                               |
| <p><b>Estimated Annual Contract Value and Funding Arrangements</b><br/>Estimated annual value is £20,569,000. This estimate is based on the 2017/18 agency fostering budget.</p> <p>Potential total contract value: £82,276,000.</p> <p>The proposed framework value is approximately 15% higher than the current framework value, taking into account increases to the looked after children population, agency fees, annual uplifts and the additional specialist lot.</p>  |                               |                             |                               |
| <p><b>Contract Duration</b><br/>Initial period of 2 years with an option to extend the framework by any number of defined periods provided that the total framework period does not exceed 4 years.</p>   |                               |                             |                               |
| <p><b>Lotting</b><br/>The tender will consist of two Lots:</p> <ul style="list-style-type: none"> <li>• Lot 1 - All Age Groups, Parent/Child and Solo placements</li> <li>• Lot 2 - Step Down into Fostering</li> </ul>   |                               |                             |                               |
| <p><b>Evaluation</b></p> <table border="1" style="width: 100%;"> <tr> <td style="width: 50%; text-align: center;"><b>Quality Criteria 60%</b></td> <td style="width: 50%; text-align: center;"><b>Financial Criteria 40%</b></td> </tr> </table> <p>Social Value will account for 10% of the quality criteria and the objective will primarily focus on creating employment opportunities for Lancashire residents.</p>   |                               | <b>Quality Criteria 60%</b> | <b>Financial Criteria 40%</b> |
| <b>Quality Criteria 60%</b>   | <b>Financial Criteria 40%</b> |                             |                               |
| <p><b>Contract Detail</b><br/>The purpose of this Framework Agreement is to support the Council in fulfilling its sufficiency duty in relation to accommodation for looked after children and to improve the overall outcomes for these children. The Agreement will assist the Council to improve the availability of suitable foster care placements at the right time and right location, delivering the right support, ensuring that Lancashire's Children Looked After:</p> <ul style="list-style-type: none"> <li>• Receive the best care possible to meet their needs</li> <li>• Are effectively supported to improve their individual outcomes</li> <li>• Their welfare is promoted and they are effectively safeguarded.</li> </ul> <p>The Purchasers policy on the provision of finding and securing suitable fostering placements includes;</p> <ul style="list-style-type: none"> <li>• The supply of placements and services using in-house foster carers</li> <li>• The purchase of placements and services from Independent Fostering</li> </ul> |                               |                             |                               |

### Agencies (IFAs).

For Lot 1, Framework providers will be allocated to one of three framework tiers, with tier 1 offering best quality and value for money. Call-offs from the framework will be advertised amongst the Tier 1 providers in the first instance, followed by tiers 2 and 3 respectively.

Lot 2 will have two tiers. Tier 1 will be a list of approximately 3-5 preferred providers who will attend forums to discuss upcoming complex placements, after which they will be invited to bid for said placements. The second tier will be a reserve list of providers who may be incorporated into tier 1 depending on the engagement and uptake of placements from the preferred providers.

The overarching objectives of the Framework Agreement are to ensure that suitable and safe fostering placements can be made within appropriate timescales and to ensure the child's welfare, safety and needs are at the centre of the fostering process.

In delivering services under the Framework Agreement, the Provider will achieve the following overall outcomes in relation to children placed with their carers:

- Children's welfare is safeguarded and promoted
- Individual children's outcomes are improved, and
- Children's basic need for good parenting is met.



|  |                               |                             |                               |
|--|-------------------------------|-----------------------------|-------------------------------|
| <p><b>Cabinet Member</b><br/>Cabinet Member for Children, Young People and Schools</p>   |                               |                             |                               |
| <p><b>Procurement Title</b><br/>Lancashire Break Time</p>  |                               |                             |                               |
| <p><b>Procurement Option</b><br/>OJEU – Open Tender</p>  |                               |                             |                               |
| <p><b>New or Existing Provision</b><br/>Existing. Current contract end date 24/01/2018</p>   |                               |                             |                               |
| <p><b>Estimated Annual Contract Value and Funding Arrangements</b><br/>Annual value is estimated at £1,020,000.<br/><br/>Potential total contract value: £3,060,000.<br/><br/>The proposed framework value is approximately the same as the current framework value.</p>   |                               |                             |                               |
| <p><b>Contract Duration</b><br/>Initial period of 1 year with an option to extend the framework by any number of defined periods provided that the total framework period does not exceed 3 years.<br/><br/>The proposed framework term has been recommended to provide flexibility as the SEND service formulates a longer term strategy around short break provision, which will involve consultations with various parties and remodelling based around in-house short break services.</p>  |                               |                             |                               |
| <p><b>Lotting</b><br/>There will be 12 district lots.</p>  |                               |                             |                               |
| <p><b>Evaluation</b></p> <table border="1" data-bbox="207 1198 1013 1254"> <tr> <td><b>Quality Criteria 70%</b></td> <td><b>Financial Criteria 30%</b></td> </tr> </table> <p>Social Value will account for 10% of the quality criteria and will focus on promoting training and employment opportunities in Lancashire, as well as building the capacity and sustainability of the voluntary and community sector.</p>  |                               | <b>Quality Criteria 70%</b> | <b>Financial Criteria 30%</b> |
| <b>Quality Criteria 70%</b>  | <b>Financial Criteria 30%</b> |                             |                               |
| <p><b>Contract Detail</b><br/>Lancashire Break Time provides opportunities for non-assessed children and young people (CYP) with Special Educational Needs and Disability (SEND) aged 4-18 who are unable to access universal services, to participate in social, cultural and/or leisure activities independently of their families, whilst their unpaid parent carer(s) receive a break from the caring process.<br/><br/>The service will be available to service users who live in Lancashire (excluding Blackburn with Darwen and Blackpool).<br/><br/>The current framework was designed to be commissioned during school holidays only. As the current framework has delivered an estimated 25% saving compared to having no framework in place as per the previous arrangement, the new framework will allocate a proportion of funding to term-time provision of short breaks. This supports the Council's short break strategy and national guidance requiring that carers can access short-breaks on a regular basis.</p> |                               |                             |                               |

Framework providers will be allocated to each district. The number of framework providers appointed in any given district will be proportional to that district's SEND client group, for example a district such as Burnley with a higher number of SEND CYP will be allocated more provision and funding compared to Ribble Valley with a much smaller number of SEND CYP. The provision is advertised on the Council's website and service users / carers can commission placements directly.

The main outcomes of the service are as follows:

For Parents and Carers:

- Parents/carers feel enabled to cope with their caring role
- Parents feel better equipped in their parenting role
- Parents/carers experience a better quality of life
- Parents feel able to trust carer
- Families feel less isolated
- Families are aware of and are enabled to access health, education and social care services.

For CYP:

- CYP are comfortable and safe
- CYP are enabled to socialise with peers and develop their socialisation skills
- CYP have an improved quality of life
- CYP experience improved emotional wellbeing
- CYP develop increased life skills
- Improved family relationships and thus a reduction in family breakdowns and risk of harm to CYP

| <p><b>Cabinet Member</b><br/>Leader of the County Council</p>   |   |                    |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
|---|---|--------------------|-----|---|--------------------|---|---------|----|---|--------|----|---|--------|----|---|--------|----|---|--------|----|---|--------|----|
| <p><b>Procurement Title</b><br/>Supply and Delivery of Cleaning Materials</p>   |   |                    |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| <p><b>Procurement Option</b><br/>OJEU – Open Tender</p>   |   |                    |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| <p><b>New or Existing Provision</b><br/>Existing. Current contract end date 31/01/2018</p>  |   |                    |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| <p><b>Estimated Annual Contract Value and Funding Arrangements</b><br/>Estimated annual value is £730,000</p> <p>Potential total contract value: £2,920,000.</p> <p>The annual value of this contract is higher than previously due to the addition of Blackburn with Darwen Council's requirements within the contract scope (approx. £102,000 per annum drawn from their own budget), the addition of Specialist Cleaning Equipment as an additional Lot (approx. £20,000 per annum), and overall increases to prices over the last four years in the marketplace.</p>          |   |                    |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| <p><b>Contract Duration</b><br/>Initial period of 2 years with an option to extend the contract by any number of defined periods provided that the total contract period does not exceed 4 years.</p>   |   |                    |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| <p><b>Lotting</b><br/>The tender will consist of five Lots:</p> <ul style="list-style-type: none"> <li>• Lot 1 – Direct Delivery of Cleaning Materials</li> <li>• Lot 2 – Bulk Supply of Chemicals</li> <li>• Lot 3 – Bulk Supply of Paper</li> <li>• Lot 4 – Bulk Supply of Polythene Bags</li> <li>• Lot 5 – Bulk Supply of Cleaning Materials</li> <li>• Lot 6 – Specialist Cleaning Equipment</li> </ul>  |   |                    |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| <p><b>Evaluation</b></p> <table border="1"> <thead> <tr> <th>Lot</th> <th>Quality Criteria and (Social Value weighting)</th> <th>Financial Criteria</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>60 (10)</td> <td>40</td> </tr> <tr> <td>2</td> <td>30 (5)</td> <td>70</td> </tr> <tr> <td>3</td> <td>30 (5)</td> <td>70</td> </tr> <tr> <td>4</td> <td>30 (5)</td> <td>70</td> </tr> <tr> <td>5</td> <td>30 (5)</td> <td>70</td> </tr> <tr> <td>6</td> <td>30 (5)</td> <td>70</td> </tr> </tbody> </table> <p>Social Value will primarily focus on environmental aspects.</p> |   |                    | Lot | Quality Criteria and (Social Value weighting) | Financial Criteria | 1 | 60 (10) | 40 | 2 | 30 (5) | 70 | 3 | 30 (5) | 70 | 4 | 30 (5) | 70 | 5 | 30 (5) | 70 | 6 | 30 (5) | 70 |
| Lot   | Quality Criteria and (Social Value weighting) | Financial Criteria |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| 1   | 60 (10)                                       | 40                 |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| 2   | 30 (5)  | 70                 |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| 3   | 30 (5)  | 70                 |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| 4   | 30 (5)  | 70                 |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| 5   | 30 (5)  | 70                 |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| 6   | 30 (5)  | 70                 |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |
| <p><b>Contract Detail</b><br/>The purpose of these contracts is to ensure that the Council receives best value with regards to the cleaning materials purchased by all Council sites.</p> <p>Lot 1 concerns the direct delivery of cleaning materials to all Council sites for their consumption as required. It is also the intention to include Blackburn with Darwen</p>   |   |                    |     |   |                    |   |         |    |   |        |    |   |        |    |   |        |    |   |        |    |   |        |    |

Council within the scope of this Lot at their request. Consolidating the buying power of both councils may lead to tenderers submitting highly competitive tender prices.

Lots 2 - 6 are for the bulk delivery of various categories of cleaning supplies to one location (the Council's Building Cleaning Service located at County Hall, Preston). These supplies are used by the Building Cleaning Service as consumables for their own traded service contracts.

As Lots 2-6 are logistically straightforward for suppliers and the contract values range from £20-70k per annum, they represent an ideal opportunity for small to medium sized enterprises (SMEs) to tender and supply the Council. The strategy will therefore be to limit the number of Lots that any tenderer can win to one or two Lots only, whilst having a slimmed-down tender questionnaire and evaluation criteria in favour of price for Lots 2-6.

**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of Service Business Growth**

|               |
|---------------|
| <b>Part I</b> |
|---------------|

|                                      |
|--------------------------------------|
| Electoral Divisions affected:<br>All |
|--------------------------------------|

**Boost - Lancashire's Business Growth Hub**

(Appendix 'A' refers)

Contact for further information:

Andy Walker, (01772) 535629, Head of Service Business Growth,  
[andy.walker@lancashire.gov.uk](mailto:andy.walker@lancashire.gov.uk)

**Executive Summary**

Over the past five years, the Department for Business, Energy and Industrial Strategy (BEIS) has worked with a range of local partners to establish a network of 40 Business Growth Hubs covering England.

Boost – Lancashire's Business Growth Hub was one of the first in the country to start operating when launched in 2012, and now handles around 1,000 enquiries a year from start-up and established businesses. In terms of impact, Boost has now worked with 4,799 Lancashire Businesses, provided in-depth support to 2,493 creating 1,425 new jobs, 211 new businesses and increasing local Gross Value Added (GVA) by more than £50m.

Boost is funded by a combination of contributions from Lancashire County Council, Lancashire County Developments Ltd, BEIS and European Regional Development Fund (ERDF). However, the original and on-going funds contributed by the County Council have been instrumental to the scale and success of Boost and has enabled the service to secure additional public investment.

This report seeks a further commitment to provide match funding from the County Council to allow the Growth Hub to seek continuation funding to the end of the current European Programme until the end of 2021. This will allow the Economic Development Service to respond to renewed funding opportunities through the Autumn of 2017.

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

## Recommendations

The Cabinet is recommended to:

- (i) Commit to providing a maximum £1million match funding to allow the continuation of Growth Hub activity from January 2019 to the end of December 2021.
- (ii) Approve the additional priorities and focus for economic development support in 2017/18 and 2018/19.

## Background and Advice

Boost, Lancashire's Business Growth Hub, is a County Council initiative that has now been operational since 2012. It was one of the first Growth Hubs in England to be established and now forms part of a national network of 40 Hubs covering the whole of the country.

In just over four years of operation, Boost has supported almost 5,000 Lancashire businesses to develop and implement their plans for growth, leading to the creation of just over 1,400 new jobs.

Boost now sits at the heart of a Lancashire network of over 20 programmes of publicly-funded business support. Together these programmes have over thirty million pounds worth of finance, development and training support on-tap for Lancashire businesses. We realise that this landscape of provision can be hard to navigate but advisers in the Boost Gateway service can ensure that businesses get access to the right programmes at the right time.

The County Council has remained the largest single funder of Boost and will have provided over £5m to establish and grow this programme. Considering progress in detail, the Growth Hub's key metrics are as follows:

- **Lancashire Businesses supported** to date 4,799 and by December 2018 we will have supported at least 5,951
- **New jobs created to date:** 1,294 and by December 2018 we will have created at least 2,166
- **New Businesses created to date:** 211 and by December 2018 this will rise to over 320
- **Leveraged Private sector investment** to date £883,429.43 and by December 2018 this will be at least £1,633,429.34
- We know business support is complex, our business support finder has over **85 Programmes of support that are available** to Lancashire businesses
- We are delighted that we have over **85 registered private sector business support providers in Lancashire working with us.**

In addition to its core business support function, Boost is playing a key role in promoting skills support programmes commissioned by the local partners and was also instrumental in distributing flood recovery grants to business, helping them to get trading again. This work has led to Boost being selected for a national pilot with the Prince's Responsible Business Network, Business in the Community and LCC's Emergency Planning Team to see how the Business Emergency Resilience Group (BERG) can more effectively help businesses and the community respond in the event of major events.

## **Boost Funding**

Since LCC's original financial commitment of £1.9m in 2012, the Boost has been successful in drawing in additional resource from other partners and sources to maximise the scale and impact of the programme for Lancashire businesses. In the last two years, BEIS has begun to recognise the value for money which the Growth Hub network offers and to make a nominal financial contribution to each Hub.

The main opportunity to match LCC's contribution has come from successive ERDF Programmes where the Boost programme has a strong fit with the objectives of the Lancashire European Structural and Investment Fund (ESIF) strategy and the outputs it seeks to deliver. Since 2012 the programme has drawn-down in excess of £7m of European funds.

Given Brexit, the future of European Structural Funds is clearly limited, but there will be one last opportunity for Boost to ensure it can fully utilise the allocation of funds to Lancashire. To this end, funding calls through the autumn of 2017 will be available to extend current, successful programmes out until 2021.

A commitment to continued match-funding from LCC will allow us to lodge these bids, but we would also intend to approach the other upper tier local authorities in Lancashire to make a contribution commensurate with the scale of their eligible business population.

Given the Cabinet decision to amend the budget to provide an additional £1m of extra funding "*Supporting Economic Growth, particularly small businesses*" it is proposed that initially the new resource is used to replace "LCC reserve" match in the final eighteen months of the current Boost ERDF project. This would allow the balance of these "reserve" funds to be used alongside LCDL and BEIS match to bid for a rationalised Growth Hub Programme in 2019, 2020 and 2021. Table 1 at Appendix 'A' shows how that match funding requirement of a £6m, 3-year Boost programme would be made up of LCC, LCDL and BEIS contributions. This profile would of course be subject to confirmation of both the LCDL Board and further BEIS Growth Hub funding which is expected to be announced in the new Industrial Strategy and/or Autumn Statement.

A further Cabinet report will come forward, in due course, that identifies how the remaining balance of additional "*Supporting Economic Growth*" budget agreed by Full Council in July 2017 could be used from 2019/20 onwards.

## **Scope of Existing Business Support Services**

Whilst the main purpose of the Growth Hub is to advise and sign-post businesses to other provision, the programme does contain two delivery elements, the Growth Support Service providing enterprise training to new start and young businesses and the Growth Mentoring Service, matching experienced business coaches and mentors with established businesses.

Out with these core services Boost can also refer to a network of other commercial provision directed at either priority sectors or specific business development processes including financing growth, innovation, export, digitisation or the development of low carbon goods and business processes.

Despite this portfolio of support, there remain some key work themes and business constituencies where additional LCC resource would facilitate a renewed focus and support for Lancashire businesses to address new and emerging challenges and opportunities. Table 2 at Appendix 'A' and the detail below provide more detail.

As a principle, we would seek to ensure that these new strands of activity are addressed within the budget envelope set out in Table 1, and that we aim to create self-sustaining or commercial models of future delivery of business support in these areas that does not result in a long-term expectation of continued public funding.

## **Re-focusing of Business Support Activity in 2017/18 and 2018/19**

The following four policy areas are highlighted as a particular focus for Boost and wider LCC Business Support over the next 18 months either because they have emerged as local opportunities for growth and jobs; address new challenges; whilst evidencing strong local economic leadership.

**Engaging Lancashire's Scale-Up Businesses** - Over the past year increasing prominence has been given by government to the role played by so-called "Scale-Up" businesses within the economy. Whilst the definition "annualised growth in employees or turnover greater than 20% per year over a 3-year period" is similar to the national Business Growth Service's focus on finding and supporting "gazelles", the decision of BEIS to withdraw from direct provision for this cohort of businesses and the scarcity of other resource make the policy prescription for supporting Scale-Ups somewhat different. It is suggested that the UK has a Scale-Up gap compared to international competitors and that if we manage to close the scale-up gap, we will secure significant economic value and the competitive advantage of Britain for generations to come.

In September 2016, a new report was published by the CBI, in partnership with Lloyds Bank, Aston Business School and the Scale-Up Institute, identifying scale-up medium-sized businesses as "the entrepreneurial heroes of the UK economy" and critical to solving the UK's productivity puzzle. Based on data from companies across the UK and interviews with 30 scale-up businesses, the report highlights new research on the impact of scale-up businesses on UK productivity and profiles their insights and strategies into raising competitiveness and efficiency within firms. The



report highlights that a small number of entrepreneurial firms make a large contribution to UK productivity. Scale-up firms, in particular those rapidly increasing sales, have higher productivity rates:

- In 2013, four per cent of firms contributed 17 per cent to total UK productivity.
- Between 2012 – 2015, over 18,500 businesses rapidly scaled-up their turnover – 650 of these were mid-market firms.
- Within the scale-up community, highly productive firms are twice as common.
- 8 out of 10 of the UK's most productive businesses are located outside London.

The Scale-Up Institute's analytical tool suggests that there are presently 159 scale-up businesses in Lancashire. Together, these businesses have a combined turnover of £4bn and employ 22,000 staff.

The Scale-Up Review on Economic Growth 2016 presents an analysis of scale-up growth and density. Lancashire's scale-up's show a more limited pattern of growth, ranking 34th out of 39 LEPs and the area is placed 22nd out of 39 in respect of the density of scale-ups per capita population.

Given the rapid expansion and profitability of these businesses, we do not see a case to offer subsidised opportunities or training, instead the activity will be focused on engaging this cohort of businesses, defining any barriers to further growth and encouraging collaboration and best practice.

## **BREXIT Readiness**

In 2015, Lancashire's trade in goods with the EU was worth a total of £1.8bn with France, Germany and Spain being the top three markets for exports.<sup>1</sup> Whilst the USA ranked as the 4<sup>th</sup> most important trading region, over 60% of trade flows were with EU countries placing Lancashire within the upper quartile of English sub-regions in terms of its dependence on trade with EU countries.

The Economic Development Service works closely with colleagues in the Department for International Trade and with local Chambers of Commerce who play a key role in promoting export and supporting the technical aspects of the trade process. Despite this, the scale of export promotion activity remains small in relation to the size of potential business community who could be engaged. It is proposed that a LCC resource will provide additional capacity at this important time to allow businesses to understand the impacts and opportunities of the wider BREXIT process and the new arrangements for international trade which will result. It is also suggested that the impacts of BREXIT will differ markedly across sectors and we will work with sector lead bodies to understand how the trade conditions for industries like aerospace, automotive and food manufacture will change.

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<sup>1</sup> HMRC Data - Trade In Goods by English LEP's 2015

## **Digital Sector Development**

Over the past year we have worked with Digital Lancashire, the lead local industry body to fully understand the importance of digital businesses as a sector in their own right and as a technology enabler for almost all other sectors. Key clusters of expertise and specialism have now been identified within the county with industry leading expertise in disciplines including cyber-security, e-commerce and the digitisation of manufacturing processes. There is also an emerging expertise around digital health, building on assets such as the NHS test-bed facility in East Lancashire and the proposed Health Innovation Campus at Lancaster University. There are some immediate opportunities to strengthen these clusters and to ensure Lancashire is well placed to respond to the growth of the sector itself and the importance of digitisation to the wider economic base.

## **Business Start-Up Provision**

Given the eligibility requirements of ERDF funding, there is a substantial cohort of retail and business to consumer enterprises who cannot join programmes funded in this way. Clearly sectors such as retail and the visitor economy are important in their own right across Lancashire, but also play a particular role in the viability and vibrancy of town and city centres. Boost has provided subsidised membership to well-regarded on-line business support portals such as Enterprise Nation and supported access to Start-up Loans, the main national programme of combining finance and advice for start-ups.

Over the next 18 months the Business Growth service will review how it works with Lancashire's Chambers of Commerce, the Federation of Small Businesses and other local partners to provide a holistic offer to this key entrepreneurial group.

## **Consultations**

N/A

## **Implications:**

This item has the following implications, as indicated:

## **Risk management**

As set out in the report.

## **Financial**

The additional funding detailed within this report was agreed by Full Council in July 2017. There is also a need to ensure the financial commitments of BEIS and LCDL Boards to the package of match funding suggested for Boost 3. As discussed within the report there is also a need to test the appetite of other upper tier authorities to provide match funding.

Should any of the match funding model in this paper fail to materialise, the programme is scalable to match the level of resource which can be leveraged by LCC's sole contribution. This would however be sub-optimal as we have established that the economic impact of the programme will be maximised at or around a £6m programme.

### **List of Background Papers**

| Paper | Date | Contact/Tel |
|-------|------|-------------|
|-------|------|-------------|

None

Reason for inclusion in Part II, if appropriate

N/A



**Table 1 – Match Funding Contributions for Boost – Lancashire's Business Growth Hub  
Current (Boost 2) and Proposed (Boost 3) Programme**

| Boost 2 and 3 Match Funding Plan           | Boost 2        |               |             | Boost 3 *   |             |             | Total match required<br>£000 |
|--|----------------|---------------|-------------|-------------|-------------|-------------|------------------------------|
|  | 2016/17 ACTUAL | 2017/18       | 2018/19     | 2019/20     | 2020/21     | 2021/22     |                              |
|  | £000           | £000          | £000        | £000        | £000        | £000        |                              |
| <b>Match Funding Requirement from ERDF</b> | <b>£974</b>    | <b>£1,217</b> | <b>£709</b> | <b>£700</b> | <b>£900</b> | <b>£800</b> | <b>£5,300</b>                |
| <b>Match Funding Sources</b>               |                |               |             |             |             |             |                              |
| LCC Strategic Reserve                      | £660           | £450          |             | £350        | £350        | £119        | <b>£1,929</b>                |
| LCDL                                       | £314           | £267          | £209        | £350        | £350        | £450        | <b>£1,940</b>                |
| BEIS                                       |                |               |             |             | £200        | £231        | <b>£431</b>                  |
| LCC Revenue budget                         |                | £500          | £500        |             |             |             | <b>£1,000</b>                |
| <b>Total Match Funding Sources</b>         | <b>£974</b>    | <b>£1,217</b> | <b>£709</b> | <b>£700</b> | <b>£900</b> | <b>£800</b> | <b>£5,300</b>                |

\* Assumes £6m programme 40:60 Match / ERDF

LCDL has approved £1m contribution to Boost. The BEIS and additional LCDL contributions are proposed amounts.

| Proposed allocation of £1m additional revenue budget                   | 2017/18<br>£000 | 2018/19<br>£000 | 2019/20<br>£000 | 2020/21<br>£000 | 2021/22<br>£000 |
|--|-----------------|-----------------|-----------------|-----------------|-----------------|
| Boost 2  | £500            | £500            |                 |                 |                 |
| Econ Dev. / Small business support - to be approved in a later meeting |                 | £500            | £1,000          | £1,000          | 1,000           |
| <b>Total Additional Revenue Budget</b>                                 | <b>£500</b>     | <b>£1,000</b>   | <b>£1,000</b>   | <b>£1,000</b>   | <b>£1,000</b>   |

| <b>Table 2: Suggested Programme of Additional Business Support Provision</b>     |   |   |  |
|--|---|---|--|
| <b>Issue</b>   | <b>Target Sector</b>  | <b>Proposal</b>   | <b>How delivered</b>   |
| Scale Up Engagement  | Companies with average growth >20% per annum for the last three years.              | Strategic Reviews to address potential future obstacles to growth (Premises, skills, funding) | High level business engagement and relationship management   |
| Brexit – helping companies to plan for changes and to identify new opportunities | Exporters developing or expanding non-EU market opportunities                       | Brexit Resilience Audit and recommendation  | To build added value into the existing trade support activities of DIT and the Chambers in Lancashire. |
|  | Key Sector impacts and opportunities with a focus on AEM, Food manufacture, Nuclear | Sector mobilisation and marketing. Sector strategies/lobbying                                 | Specialist support   |
| Digital Sector Development   | Companies wishing to tender for Government Contracts                                | Cyber Essentials Certification support  | Specialist technical support   |
|  | Support to allow businesses to begin exploring the impact of digitisation           | Strengthen and bring to scale pilot activity with Digital Lancashire                          | Company audits   |
| Business start-up and early  | Non-Boost (ERDF   | Intensive support covering  | Launchpad equivalent – one to many support structured over   |

|               |                             |                     |                         |
|---------------|-----------------------------|---------------------|-------------------------|
| failure rates | ineligible) business starts | business essentials | 2 days / online support |
|---------------|-----------------------------|---------------------|-------------------------|





**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Director of Economic Development**

|               |
|---------------|
| <b>Part I</b> |
|---------------|

|                                      |
|--------------------------------------|
| Electoral Divisions affected:<br>All |
|--------------------------------------|

**Housing Infrastructure Fund**

Contact for further information:

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[martin.kelly@lancashire.gov.uk](mailto:martin.kelly@lancashire.gov.uk)

**Executive Summary**

In late July, Government published guidance on the Housing Infrastructure Fund (HIF). The HIF is a new £2.3 Billion national infrastructure investment programme designed to unlock the delivery of up to 100,000 new homes in areas of high demand in England. The HIF has two distinct funding elements with the Forward Fund aimed at unlocking large strategic housing growth opportunities and the Marginal Viability Fund focused on the delivery of smaller housing development sites.

This report focuses on the Government's Forward Fund opportunity, given only upper tier and unitary local authorities can apply to Government with the support of relevant local partners. At this stage, the County Council potentially has two viable Forward Fund proposals. These include an investment proposition for the established Preston, South Ribble and Lancashire City Deal initiative, and another for South Lancaster based on recently secured national Garden Village status. Cabinet approval is sought for the development of both these Forward Fund proposals along with limited funding to support the development of competitive Expressions of Interest (EOIs).

Given pressing timescales, approval is also sought to authorise the Leader of the County Council, Cabinet Member for Economic Development, Environment and Planning, and Cabinet Member for Highways and Transport to finalise the County Council's EOI submissions, in consultation with the Director of Economic Development and S151 Officer.

This is deemed to be a Key Decision and the provisions of Standing Order 25 have been complied with.

## Recommendation

Cabinet is recommended to:

- (i) Approve the development of two potential Forward Fund EOIs, one for the Preston, South Ribble and Lancashire City Deal initiative with another in support of South Lancaster.
- (ii) Agree to provide £50,000 from the County Council's Transitional Reserve to support the development of proposed EOI case-making.
- (iii) Comment on the relative merits of each Forward Fund proposal, subject to presentations at the meeting of Cabinet, given the requirement of Government on local authority applicants to rank their EOI submissions.
- (iv) Given pressing deadlines, authorise the Leader of the County Council, Cabinet Member for Economic Development, Environment and Planning, and the Cabinet Member for Highways and Transport to finalise the County Council's EOI submissions, in consultation with the Director of Economic Development and S151 Officer.

## Background and Advice

In late July, Government published guidance on the Housing infrastructure Fund (HIF). The HIF is a new £2.3 Billion national infrastructure investment programme designed to unlock the delivery of up to 100,000 new homes in areas of high demand in England.

The HIF will look to deliver new physical infrastructure to support housing growth in new and established communities; support ambitious local authorities wanting to accelerate their plans for housing growth; and enable local authorities to recycle any recovered HIF funding to support other locally important infrastructure growth priorities.

The HIF application process is fully competitive and is likely to be over-subscribed by local authority applicants. At this stage, Government guidance is relatively light-touch with further clarifications likely as the process unfolds. However, the HIF application process is very similar in focus and approach to the Government's Growth Deal programme – an initiative Lancashire has achieved significant success through by competitively securing £320m in new public investment.

The HIF has two distinct funding elements. The *Forward Fund* aims to unlock large strategic housing growth opportunities with Government providing funding of up to £250M for each successful scheme, whilst the *Marginal Viability Fund* (MVF) will focus on the delivery of smaller housing development sites. MVF funding is capped at £10M for successful schemes.

This report focuses on the Government's Forward Fund opportunity, given only upper tier and unitary local authorities can apply with the support of relevant local partners, especially the relevant local authorities and Local Enterprise Partnership.

At this stage, the County Council potentially has two viable Forward Fund proposals. These include an investment proposition for the established Preston, South Ribble and Lancashire City Deal initiative, and another for South Lancaster based on recently secured national Garden Village status. Both proposals can evidence strong levels of local authority leadership and collaboration, the full support of the Lancashire Enterprise Partnership, a strategic rationale and transformational impacts, and an emerging track record of delivery.

The emerging City Deal HIF submission aims to build on a 3-year strong track record of infrastructure delivery and housing and employment growth. The emerging submission suggests a focus on securing a new Ribble Crossing and the completion of the Preston Western Distributor as both elements will help to shape future land-use planning to unlock significant additional housing and employment growth as well as materially improving network resilience through and across Lancashire's central core.

The Ribble Crossing scheme would require the construction of a new bridge across the River Ribble west of Preston. Linking together three of the City Deal's main infrastructure schemes, the Preston Western and South Ribble Western Distributors, via the Penwortham Bypass, with the package delivering a continuous dual carriageway route for local traffic between the M6/M65 at Cuerden and the M55 near Bartle to the west of Preston. An initial assessment of land-use suggests that a new Ribble Crossing could enable the delivery of 15,000 new homes across Central Lancashire, Fylde, Wyre and West Lancashire.

The proposal would look to seek a HIF contribution of £250m towards total project costs.

The emerging South Lancaster HIF submission aims to realise the full potential of recently secured national Garden Village status linked to the continued growth of Lancaster University. Significant Growth Deal 3 funds have already been secured to enable the re-configuration of Junction 33 on the M6 to support new housing and employment growth opportunities.

HIF would help to deliver these transformational proposals with a re-configured Junction 33 enabling residents and businesses in South Lancaster to access the motorway network without having to travel through either the city centre or Galgate. The HIF package would also include other transport infrastructure initiatives such as the "Lancaster Reach" bus rapid transit network and a dedicated cycle superhighway between South Lancaster and the city centre, along with additional infrastructure improvements to address flood and drainage risks.

The South Lancaster submission would look to secure a HIF contribution of c. £150m in support of the total infrastructure funding package and deliver up to 5,000 new homes.

The MVF opportunity is open to all tiers of local government and at the time of writing this report there was no clear view on whether any District councils in Lancashire intend to bid to this fund. It is worth noting that County Councils in two-tier areas have no strategic role or local co-ordinating function to perform in the MVF

application process. However, in developing a competitive MVF submission, District Councils are advised to have secured the support of their local highway authority for any highway focused proposals.

The Government intends to identify successful Forward Fund proposals against key criteria, including strategic case, housing numbers, deliverability and value for money (VFM). In helping to assess Forward Fund proposals, Government has produced a “ready reckoner” that attempts to analyse VFM based on total housing units to be achieved, the level of HIF funding required, and the likely impact of the proposal on local land values. The Government’s current VFM model is crude and biased towards London and the South East, given the weighting accorded to land values. At this stage, however, it is not clear whether this test will form a key part of the Government’s formal assessment process.

As already highlighted, the HIF application process is fully competitive with Government requiring Forward Fund EOIs by the end of September. Local authorities submitting successful EOIs will be invited by Government to develop a full business case for their proposal.

Government does not expect Forward Fund investment decisions to be announced until Autumn 2018, but it will expect successful applicants to spend the majority of their HIF funding by 2021. Based on experience, it is highly unlikely that major place-shaping investment programmes such as the Forward Fund will be fully committed and spent by March 2021, especially given a start date of Autumn 2018 at the earliest. Bearing this in mind, Government is likely to place a premium on selecting partners and proposals with a proven track record of delivery.

Given the combination of opportunity and acute time pressures, this report seeks Cabinet support for the development of two Forward Fund proposals - City Deal and South Lancaster - with limited funding of up to £50,000 to support the preparation and development of competitive EOIs. In light of timescales, work is already underway at risk, though the detailed analysis underpinning each EOI will only be ready by the deadline of 28 September. However, presentations will be made to Cabinet on both investment proposals. This will enable Cabinet to assess the merits of each proposal, against key criteria, as required by Government should we submit more than one proposal.

Given pressing timescales, approval is also sought to authorise the Leader of the County Council, Cabinet Member for Economic Development, Environment and Planning, and Cabinet Member for Highways and Transport, in consultation with the Director of Economic Development and S151 Officer, to finalise the County Council’s EOI submissions.

## **Consultations**

N/A

**Implications:**

This item has the following implications, as indicated:

**Risk management**

N/A

**Financial**

The £0.050m to support the development of proposed EOI case-making will be funded from the Transitional Reserve.

**List of Background Papers**

| Paper   | Date | Contact/Tel |
|---|------|-------------|
| None  |      |             |
| Reason for inclusion in Part II, if appropriate |      |             |
| N/A   |      |             |



**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of LEP Coordination****Part I**Electoral Divisions affected:  
All**Marketing Lancashire**

Contact for further information:

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[kathryn.molloy@lancashire.gov.uk](mailto:kathryn.molloy@lancashire.gov.uk)**Executive Summary**

This report seeks Cabinet approval for a budget of £0.400m to be reinstated within the County Council's Medium Term Financial Strategy from 2018/19 onwards to enable a contribution of this value to be paid to Marketing Lancashire each year, subject to a yearly performance review. This reflects the County Council's strategic interest and support for the company since the refocused organisation emerged from the former Lancashire and Blackpool Tourist Board in 2011. This is currently part of a budget saving agreed by Cabinet in November 2015 for the Economic Development service, however as this has been identified as a political priority this has been declared an undeliverable saving. Reserve funding is in place for 2017/18.

The proposed core funding of the County Council is currently matched by local authority and commercial funding contributions of £742,000 in 2017/18, with additional revenue support provided by the Lancashire Enterprise Partnership (LEP) to deliver jointly agreed strategic communications activity to ensure that Lancashire is positioned nationally and within the emerging Northern Powerhouse.

The funding proposed for this for this four year period would enable Marketing Lancashire, in conjunction with the LEP, and working alongside Lancashire's local authorities, to continue positioning and driving forward Lancashire's new "economic narrative" – a new ambitious and inclusive approach focused on Lancashire's key assets and opportunities, which has been very well received by Government, business and local authority partners.

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

## **Recommendation**

The Cabinet is recommended to approve reinstatement of £0.400m from 2018/19 in the County Council's Medium Term Financial Strategy to enable a contribution of this value to be paid to Marketing Lancashire, subject to yearly performance reviews.

## **Background and Advice**

Marketing Lancashire was formed in 2011 and supersedes the previous Lancashire and Blackpool Tourist Board. Marketing Lancashire is a wholly owned company of the County Council, which is chaired by a private sector business leader, Tony Attard OBE of Panaz Limited. The County Council is represented by three County Councillors, including the Cabinet Member for Economic Development, Environment and Planning.

Marketing Lancashire is the destination management organisation (DMO) for Lancashire, working closely with Visit Britain/Visit England, BEIS, DIT and a wide range of public and private sector agencies. Marketing Lancashire is the agency charged with promoting the county on a national and international stage, with Visit Lancashire being the Tourist Board for the county and a division of Marketing Lancashire. In essence, Marketing Lancashire is focused on marketing and communications, commercial membership and place marketing, designed to grow the visitor economy and develop Lancashire's reputation as a great place to visit, work and invest.

The vision for Marketing Lancashire is to be an ambitious and forward thinking organisation focused on promoting a confident and capable Lancashire. Predominantly funded by its main stakeholder Lancashire County Council, with significant programme funding also provided by the LEP, the remit of the organisation is to help support and promote a strong inward investment agenda and secure additional private sector funding.

Building on a strong tourism foundation, Marketing Lancashire has been re-purposed to support the communication of Lancashire as a recognised national leader in economic development with both the public and the private sector by promoting the strengths of the county as a destination of choice for:

- Businesses seeking to start up, expand or relocate;
- Residents or visitors looking to further their education;
- Organisations looking to host a conference or an event;
- Individuals looking to relocate to work or to live;
- Residents or visitors wanting a short break or a day out; and/or
- Students to study the course of their choice.

The organisation comprises 13 staff (12.2 FTE) led by Chief Executive Ruth Connor and has a turnover of circa £1.1m. In addition to the appointment of Tony Attard OBE as Chair, the Board has been strengthened further with board members appointed to



reflect the large array of skills and expertise required to propel the county forward. These include; Clive Drinkwater, Regional Director of DIT, Craig Bancroft, Joint Managing Director of Northcote Leisure Group Ltd; Anna Doran, Sales and Distribution Director at Virgin Trains, Christine Cort, Managing Director of the Manchester International Festival, Joel Arber Pro-Vice Chancellor, UCLan and James Allison, Partner at Napthens.

More recently, Marketing Lancashire has become the organisation responsible for promoting the activity of the LEP. This includes promoting the LEP's economic growth programmes, specifically the £320m Lancashire Growth Deal, the £434m Preston, South Ribble and Lancashire City Deal and Lancashire's four Enterprise Zones which together form the Lancashire Advanced Manufacturing and Energy Cluster.

Marketing Lancashire is also focussed on positioning and driving forward Lancashire's new "economic narrative" – a new ambitious and inclusive approach focused on Lancashire's key assets and opportunities, which has been very well received by Government, business and local authority partners. This body of work is jointly promoted and progressed with the LEP under the *We are Lancashire - The Place for Growth* proposition and was launched to an audience of 250 businesses and the Northern Powerhouse Minister in November 2016.

### **The Financing of Marketing Lancashire**

Whilst Lancashire County Council remains the main funder of Marketing Lancashire, much has been done recently to better align the activity of the company with partner objectives and to drive other income generation within the company itself. Prior to the financial year 2016/17, the County Council's funding contribution was paid out of the County Council's revenue budget for Economic Development. For 2016/17 this amount was removed from the revenue budget as part of agreed savings and funded in 2016/17 from reserves to enable transformation to achieve the reduced budget to take place. The desire was that Marketing Lancashire could become sustainable without the need for the County Council's contribution. This has not proved to be the case and as can be seen from this report the demands on Marketing Lancashire have grown. As this is a political priority the saving of £0.400m has been declared undeliverable and it is proposed that this will be built into the MTFS from 2018/19 onwards. Due to delays in achieving the saving provision had already been made in reserves to support this budget in 2017/18.

The LEP provides financial resources to enable Marketing Lancashire to deliver this work on its behalf. In 2016/17 this amounted to just under £150,000 in funding support for key marketing initiatives with a further £225,000 allocated in 2017/18.

Marketing Lancashire has improved its financial base with local authority funding contributions and new commercial income. However, a renewed sense of economic ambition across Lancashire and the need to compete in the market place for new jobs and investors means that the County Council needs to continue its core funding of Marketing Lancashire to ensure the necessary capacity and capability is in place.

Since its establishment in 2012:

- Total income through the organisation in supporting activity has increased by 44% from £771k in 2012/13 to a budgeted £1.1 million in 2017/18.
- All local authorities across Lancashire are now partners of Marketing Lancashire with an income of £89k budgeted for 2017/18.
- Commercial income is on target to achieve £253k in 2017/18 from £175k in 2016/17.
- Lancashire's annual visitor economy economic impact has grown from £3.4 billion to £4.1 billion (+21.5%).
- Visitor numbers of have increased from 62.4m to 67.3m (+7.8%).
- Jobs supported (FTE) in the visitor economy have grown from 54,804 to 59,404 (+8.4%).
- Lancashire PR circulation has increased to 616 million per year (+146%).
- Visit Lancashire and Marketing Lancashire digital audience reach is now over 26.5 million page views (+200%).

2.4 With a commercially astute and collaborative approach, Marketing Lancashire has made considerable progress in its role as the key driver of place marketing activity for Lancashire across both the public and private sectors. This includes Marketing Lancashire developing from a tourist board to becoming the Destination Management Organisation for Lancashire with its new broader remit to achieve more proactive communication and promotion of economic development and investment in the county on a regional, national and international scale.

2.5 Notwithstanding recent progress, the County Council's continued core funding for Marketing Lancashire is viewed as vital to ensure Lancashire is considered as a competitive location for investment and growth and recognised as a key contributor within the Northern Powerhouse. Although Marketing Lancashire operates on funding levels significantly below our city-region competitors, who also continue to invest heavily in promoting their economic offer to new businesses, investors, visitors and students, the quality of its work is increasingly recognised by key decision-makers and business investors.

## **Consultations**

N/A

**Implications:**

This item has the following implications, as indicated:

**Financial**

An additional £0.400m will be built into the Medium Term Financial Strategy as a result of this previously agreed saving being identified as undeliverable. If agreed this will be incorporated within the MTFS reported to Cabinet at Quarter 2. However, it must be noted that this will increase the financial gap that the County Council is facing over future years.

**List of Background Papers**

| Paper | Date | Contact/Tel |
|-------|------|-------------|
|-------|------|-------------|

None

Reason for inclusion in Part II, if appropriate

N/A



**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of Service, Highways****Part I**

Electoral Divisions affected:  
Preston Central South; and  
Preston City

**Preston City Centre Traffic Management**

(Appendices 'A' - 'E' refer)

Contact for further information:

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**Executive Summary**

An experimental traffic regulation order which created a bus lane westbound on Fishergate between Mount Street and Corporation Street and another bus lane eastbound between Butler Street and Corporation Street was introduced in October 2016 to manage the traffic congestion that occurred in the lead up to, and during the, festive period of 2016/17. The experimental order was subject to a 6 month consultation period and this report sets out the impacts of the bus lanes, the outcome of the consultation and proposals for managing traffic in Preston city centre.

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

**Recommendation**

The Cabinet is recommended to:

- (i) Approve that the experimental traffic regulation order for the bus lanes is made permanent without amendment.
- (ii) Approve the re-commencement of camera enforcement from 6<sup>th</sup> November 2017 as set out in the report.
- (iii) Approve the proposed Experimental Traffic Regulation scheme to Lune Street; and
- (iv) Approve the revocation of the length of bus lane on Church Street between Derby Street and Ringway.

## **Background and Advice**

A report on this matter was presented to the July 2017 meeting of Cabinet. A decision was taken to defer consideration to allow officers to prepare proposals for Lune Street, and for those proposals to be considered alongside other proposals in relation to extant experimental traffic regulation orders in Preston city centre.

The Fishergate public realm scheme was designed to give more priority to pedestrians, improve the city centre environment and provide a better experience in Fishergate for visitors and shoppers. Widened footways have significantly reduced pedestrian congestion along Fishergate and by giving more space for pedestrians the scheme has allowed new pavement cafes to be established and modern street furniture to be introduced, including much more seating. Pedestrian crossing times at the main junctions have reduced significantly, by as much as 75%, dramatically improving the ease of movement and amenity afforded to pedestrians through the city centre.

The improvements have also been a catalyst for economic and retail development. In the 5 years prior to Fishergate phase 1 works being implemented, there were 39 road traffic collisions in Fishergate between Pitt Street and Lune Street, of which 5 were serious. Whilst the data collected in the two years since implementation indicates that the number of incidents has reduced by approximately 50% a statistically sound comparison cannot yet be made.

Whilst the environmental, safety and visitor benefits are evident, periodic congestion occurs, particularly in the period between October and December. This has resulted in delays for motorists in exiting the railway station, Fishergate Shopping Centre and St George's Shopping Centre car parks.

In order to address this congestion, two bus lanes have been introduced on Fishergate on an experimental basis using an experimental Traffic Regulation Order (ETRO). The introduction of an ETRO enables effects to be assessed and monitored, allows changes to be made during the first six months if necessary and this period also provides for public consultation. This ETRO also provided for the enforcement of these bus lanes by camera.

The 6 month consultation period for this ETRO ended on 30 April 2016. There was extensive coverage of the ETRO and its impacts in local and regional news and in social media. A number of responses supported the changes and commented on the improvement in the environment and also the improved visitor experience. Other responses raised issues around the displacement of congestion and the impact on journey times on other routes.

The bus lanes came into operation on 31 October 2016 and camera enforcement commenced on 14 November 2016. Camera enforcement was suspended on the bus lanes on 10 March 2017 and 4 April 2017, following adjudication decisions made by the Traffic Penalty Tribunal on 9 March 2017 and 31 March 2017 in which appeals were allowed.

The adjudicators considered that although the ETRO had been properly made, in their judgement the signing which informs the motorist of its existence was not sufficient.

Whilst enforcement has been suspended, the cameras have remained in use to collect traffic volume information. It is evident from this that contraventions of the bus lane order has continued with 65,183 vehicles observed using the bus lane westbound on Fishergate between Mount Street and Corporation Street and 24,997 on the bus lane eastbound between Butler Street and Corporation Street, between 20 March 2017 and 13 August 2017. Since they were suspended, daily traffic volumes have significantly increased from daily averages of 230 to 600 vehicles for Fishergate between Mount Street and Corporation Street and from 130 to 190 vehicles from Butler Street to Corporation Street now being recorded.

Benefits of the bus lanes ETRO include a large reduction in traffic on Fishergate in overall terms with an average of 2,700 vehicles removed daily from the section between Mount Street and Corporation Street during the hours of operation of the bus lane. This reduced the congestion and delay at the Butler Street and Corporation Street junctions resulting in a reduced delay in exiting the car parks serving the Fishergate shopping centre and the railway station.

A further consequential benefit has been to bus travel with bus journeys being more reliable and journey times reduced. Both Stagecoach and Preston Bus, the main service providers in Preston, are supportive of the bus lanes on Fishergate and wish to see them retained.

The reduction in traffic has also improved air quality with significant reduction in the level of particulates and Nitrogen Oxide. Recent air quality surveys and modelling indicate that the reduction in traffic volumes has reduced the level of pollutants by over 50%.

Whilst the number of collisions has reduced since the opening of the scheme, the reduction in traffic volume itself reduces the collision risk further and the number of recorded injury collisions along Fishergate is expected to continue to reduce.

The reduction in traffic volumes, the improvement in air quality, the improvement in public transport journey times and the reduction in accident risk have all contributed to an improved visitor experience for those coming into Preston city centre.

Notwithstanding the benefits described above, there have been some consequences of the changes that have generated negative comments. The alternative route for vehicles leaving St George's Shopping Centre car park has resulted in a displacement of traffic onto the Avenham Lane and Queen Street route with an increase in congestion and delays along this route and on Ringway. This has increased journey times for residents and workers in the Avenham and Winckley Square area. There has also been a reduction in the numbers of motorists using the St George's Shopping Centre car park.

Suggestions offered were to remove the bus lanes, to reinstate traffic signals, shorten the times of operation of the bus lane on Fishergate and also to make Lune Street two way. These have been considered and it is advised as follows:

The removal of the bus lanes, whilst beneficial to those travelling from the south of Fishergate towards the west of the city, would reintroduce delays and congestion along Fishergate and the junctions. This is not supported by the retailers at the western end of Fishergate and is not supported by the local bus operators. It is also considered that this would increase road safety risks, pollution levels would rise and the visitor experience would be degraded.

The re-introduction of traffic signals without reinstating a wider carriageway to accommodate two lanes of traffic in Fishergate would lead to long queue lengths in Fishergate, the blocking of junctions and more widespread delay in the heart of the city centre. Such a proposal would also destroy the integrity of the existing scheme.

Shortening the times of operation of the bus lane would have a similar albeit lesser impact as removing the bus lanes. Drivers are aware of the current restrictions and times of operation and any changes would likely lead to a period of confusion.

As stated earlier in this report, the volume of traffic contravening the bus lane restriction has doubled since enforcement was suspended. It is considered that camera enforcement is an effective way of ensuring compliance with the restrictions and should therefore recommence, subject to additional and amended signing being installed to address the sufficiency concerns that the adjudicators raised about the current signing provision. The adjudicators will not direct what signing may be necessary to meet the test of sufficiency but may review its adequacy if enforcement was to recommence and an appeal was submitted to the Traffic Penalty Tribunal. Plans are set out at Appendices 'A' - 'D' illustrating the additional works that it is considered will satisfy sufficiency concerns. Signing work could be completed by the end of August to allow enforcement to recommence thereafter. It is proposed that enforcement would recommence from Monday 6 November with an initial 4 week period during which warning notices only would be issued. The issue of penalty charge notices (PCNs) would commence from Monday 4 December 2017.

Prior to enforcement recommencing on 6 November a programme of publicity would be undertaken. This will be done through the county council's communications team. This period of publicity would be followed by a month where warning notices are issued giving a two month period where drivers would be informed or receive notice that unauthorised use of the bus lanes would be subject to enforcement.

Taking all the relevant information into account it is proposed that the bus lanes ETRO be made permanent. It is also proposed to re-introduce camera enforcement as set out in the recommendations.

In order to address the concerns about the St George Shopping Centre car park and reduce the volume of traffic traveling through the Avenham area, it is feasible to make Lune Street two way. This would will involve the construction of a new link onto Ringway. The route would follow the line of the existing highway which is subject to a



prohibition of driving order. Such changes to Lune Street would have an impact on adjacent streets and require changes to current traffic movements.

Initial traffic assessment work has been undertaken to help inform the proposed two way scheme on Lune Street. The results suggest that this could offer an operational alternate route for many cars departing from the St Georges car park, thereby reducing impacts on Fishergate and the Avenham area. However at very busy times it is much more difficult to predict the outcome of this change given that there are no existing figures for the number of vehicles that would chose this route.

The ultimate aim for Lune Street is to improve the quality of the street so that it marries with the adjacent Fishergate scheme. The proposal however is to implement a new scheme on Lune Street in two phases. The first phase will be new ETRO which would see a low cost change to help inform the design of the second phase which would use the more expensive materials used nearby in Fishergate. The new traffic arrangement would allow two way movement on Lune Street from the car park access to Fleet Street, then one way north bound onto Ringway at a new junction by the Bar 1842 pub, formally known as the Corn Exchange. Fleet Street would remain as present, apart from the provision of new parking or loading bays. The Lune Street statues would remain in place but the brick wall and planting area would need to be removed in order to create the junction onto Ringway. The proposals are shown on drawing number Lune Street 1 (Appendix 'E' refers). During the first phase traffic surveys would be taken in order to assess the impacts on Lune Street and the surrounding streets of the ETRO.

The proposal is to undertake the phase 1 changes at Lune Street in the autumn of this year utilising an experimental traffic regulation order to introduce revised parking and loading arrangements to accommodate two way traffic on Lune Street. In addition the current one way traffic regulation order will need to be suspended.

The phase 1 evaluation would inform the ultimate and significantly more expensive second phase scheme for Lune Street and the public space area in front of Bar 1842. This use of an ETRO mitigates the financial and technical risks associated with introducing a high quality scheme at the outset and will also bring additional capacity into the city centre in the earliest possible time. A further report on the evaluation and the ultimate proposals for Lune Street along with the anticipated long term benefits of the scheme would be presented to Cabinet during spring next year.

It is therefore proposed that the ETRO scheme be commenced on Lune Street.

As part of the consideration of city centre traffic movements, there is an existing eastbound bus lane on Church Street that runs from Derby Street to the just before the junction with Ringway. This was installed as part of bus priority measures in 1997 to assist the timings on the park and ride bus scheme. The route for these busses has now changed and as such the bus lane is no longer required. Additionally, the removal of the bus lane will improve the junction efficiency therefore assisting traffic movements from the Avenham area of Preston amongst others. It is therefore proposed to revoke Article 3 – THE FIRST SCHEDULE of the PRESTON BOROUGH COUNCIL, BOROUGH OF PRESTON (CHURCH STREET) (BUS PRIORITY LANE) ORDER 1998 and remove the length of bus lane.

## Consultations

A public consultation period of 6 months has taken place subsequent to the introduction of the ETRO. Meetings have taken place with a city centre stakeholder Group comprising Preston BID, Preston City Council, Virgin Rail, Lancashire Constabulary, the Shopping Centre Managers and retailers.

The divisional county councillor has been consulted on the proposals.

## Implications:

This item has the following implications, as indicated:

## Risk management

- Traffic Management

Not implementing the recommendations will lead to an increase in congestion and delays along Fishergate. Whilst congestion due to displaced traffic using alternative routes will occur, the delays are less severe during peak periods. The introduction of two way traffic on Lune Street and the removal of the bus lane on Church Street will mitigate levels of congestion.

- Legal

The experimental traffic regulation order can remain in place for up to 18 months. If the new ETRO on Lune Street is not made permanent before 30 April 2018, it will expire and the previous restrictions will revert to being in force.

- Financial

Expenditure on the management of the bus lanes would be a call upon any income generated from enforcement of the bus lanes. It is not anticipated that expenditure will exceed income and any surplus income, would be invested in highway and transport initiatives.

It is estimated that the cost of implementing the Lune Street phase 1 scheme including monitoring and evaluation would be c£0.100m - £0.150m. It is proposed that the costs of the scheme be funded from the authority's section 55 account which is the account that receives the surplus from the enforcement activity. This account ring-fences the monies for use in highway and transport related expenditure and this project fits within that definition. The account has sufficient balance to cover the cost of the Lune Street phase 1 scheme.

## List of Background Papers

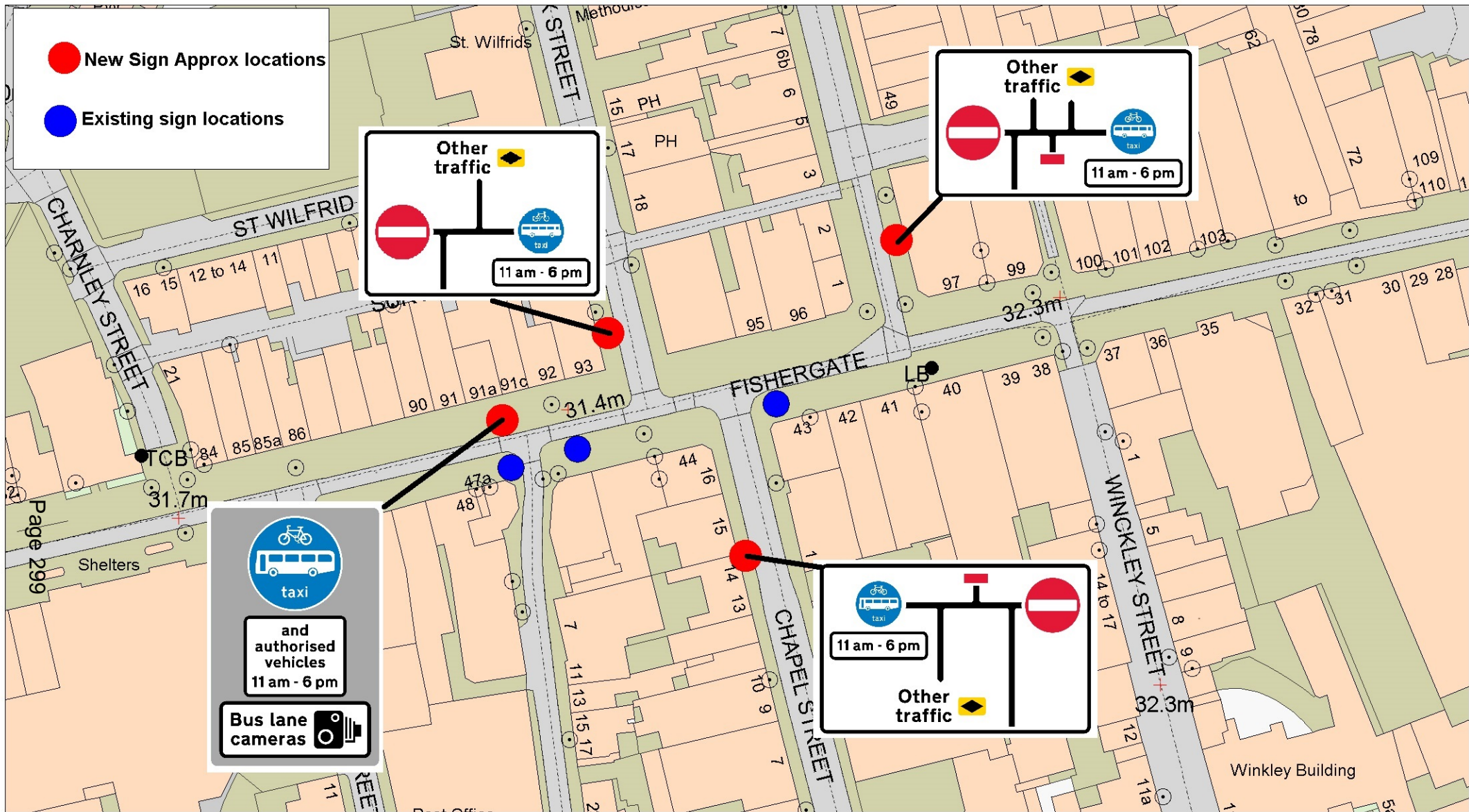
| Paper   | Date           | Contact/Tel                 |
|---|----------------|-----------------------------|
| Report to the Cabinet Member for Highways and Transport | 6 October 2016 | Dave Gorman, (01772) 534261 |

Decisions of the Traffic                      9 March 2017 and 31      Daniel Herbert, (01772)  
Penalty Tribunal Adjudicators              March 2017                      538654

Reason for inclusion in Part II, if appropriate

N/A





**Proposed new signs**



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**Community Services  
Phil Barrett  
Director Community Services**

P.O. Box 100, County Hall,  
PRESTON PR1 0LD

SCALE

**1 : 1000**

DATE

**24/03/2017**

DRAWING No.

**1**

DRAWN BY

**PAB**

Scale with care as distortion  
may occur



# Appendix B

Dimensions (mm & m<sup>2</sup>):

Width: 1484, Height: 1042, Area: 1.55

Width: 957, Height: 360, Area: 0.34

x-Heights: 60, 48

Total area: 1.89 m<sup>2</sup>

Colours:

black on white

Material: BS EN 12899-1:2007

class:

Structure Details:

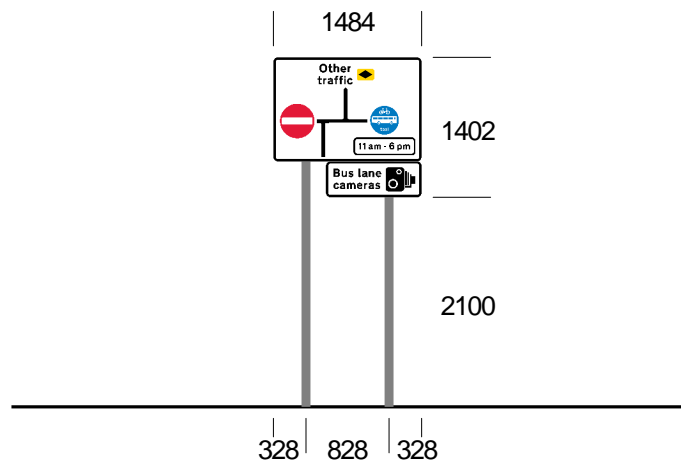
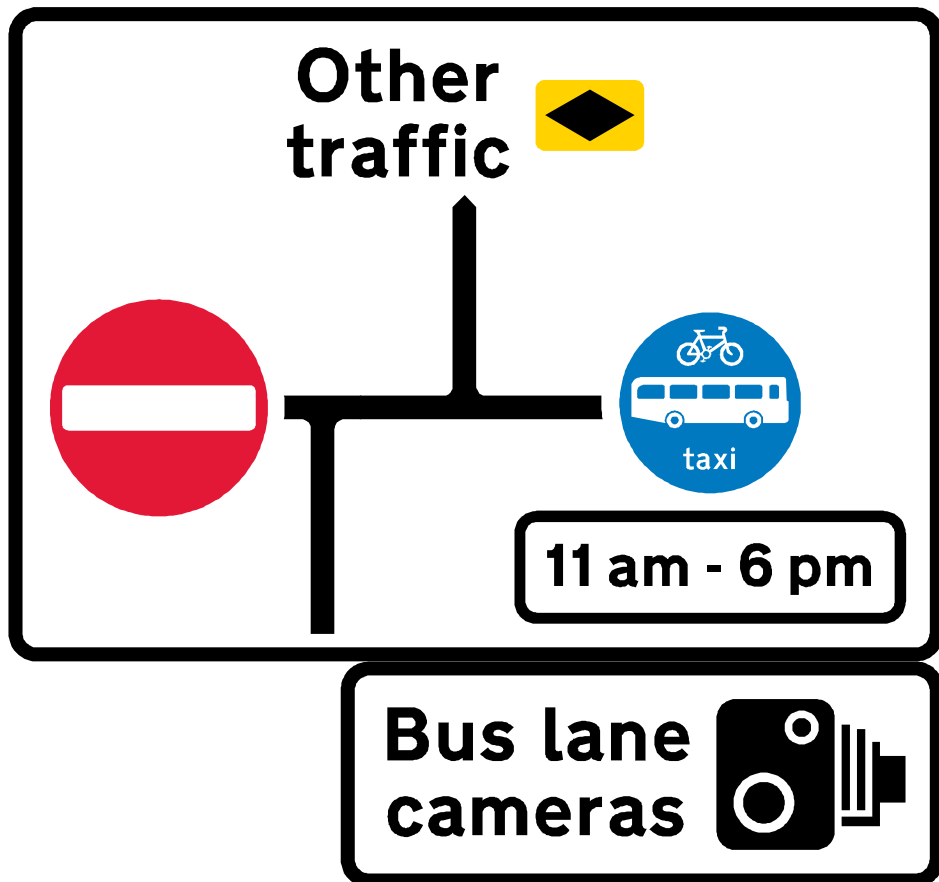
2 no. Steel circular section S275:

88.9mm O.D. 4mm thick

BS EN 12899-1:2007 classes:

WL5, TDB4, PL3, PAF1

Date printed: 28-06-17



Not to scale

SignPlot v3.40

**Lancashire County Council**





# Appendix C

Dimensions (mm & m<sup>2</sup>):  
Width: 1619, Height: 930, Area: 1.51  
Width: 957, Height: 360, Area: 0.34  
x-Heights: 60, 48  
Total area: 1.85 m<sup>2</sup>

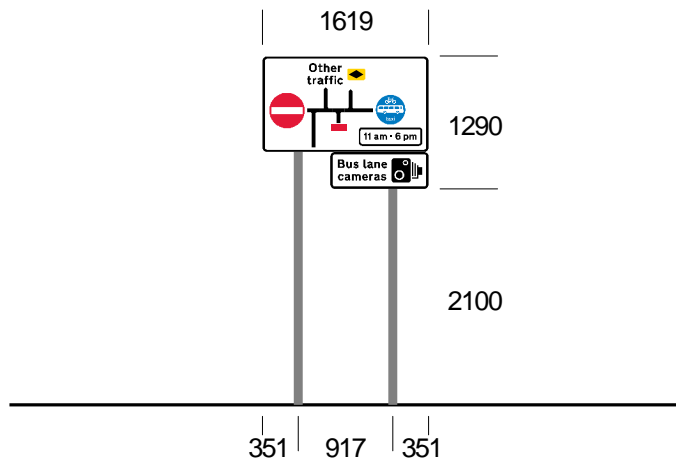
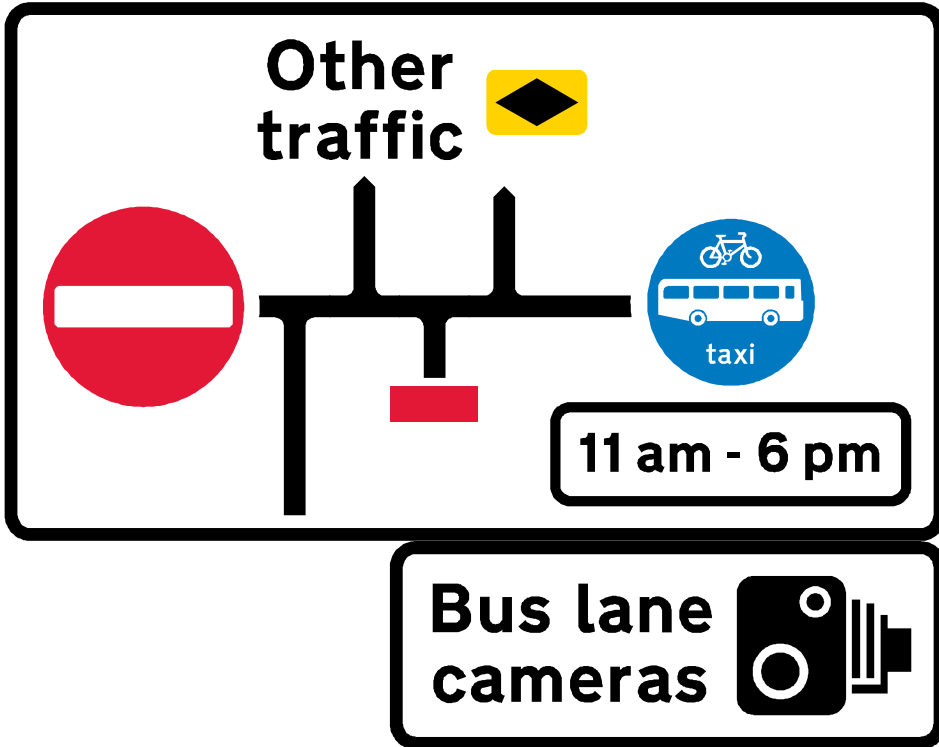
Colours:  
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Material: BS EN 12899-1:2007  
class:

Structure Details:  
2 no. Steel circular section S275:  
88.9mm O.D. 4mm thick

BS EN 12899-1:2007 classes:  
WL5, TDB4, PL3, PAF1

Date printed: 28-06-17



Not to scale

SignPlot v3.40

Lancashire County Council



# Appendix D

Dimensions (mm & m<sup>2</sup>):

Width: 1709, Height: 1070, Area: 1.83

Width: 957, Height: 360, Area: 0.34

x-Heights: 60, 48

Total area: 2.17 m<sup>2</sup>

Colours:

black on white

Material: BS EN 12899-1:2007

class:

Structure Details:

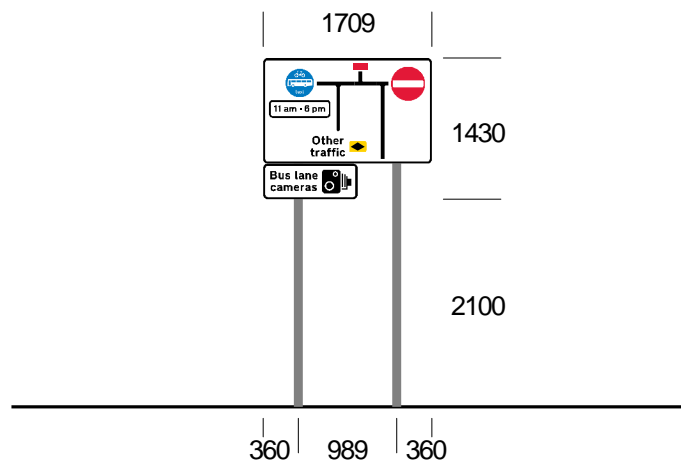
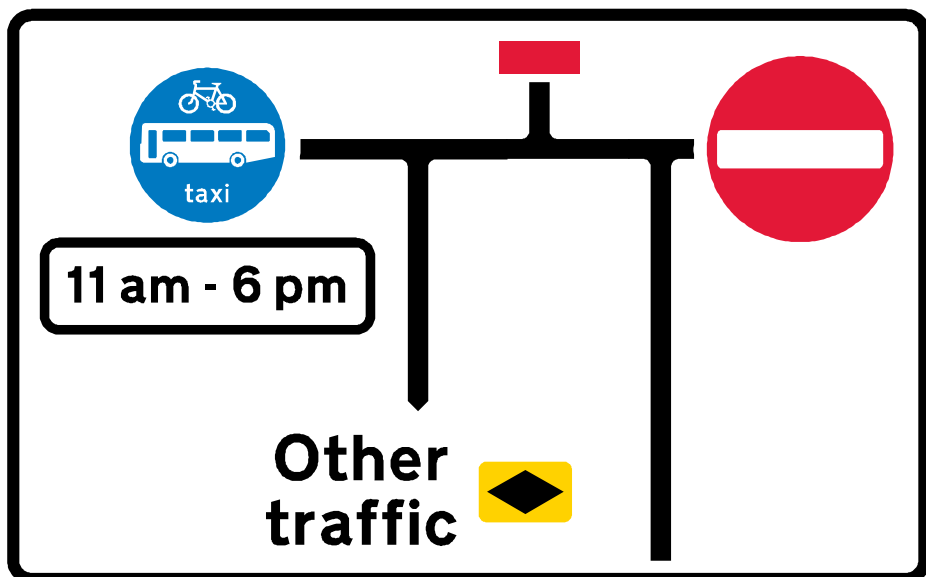
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88.9mm O.D. 5mm thick

BS EN 12899-1:2007 classes:

WL5, TDB4, PL3, PAF1

Date printed: 28-06-17

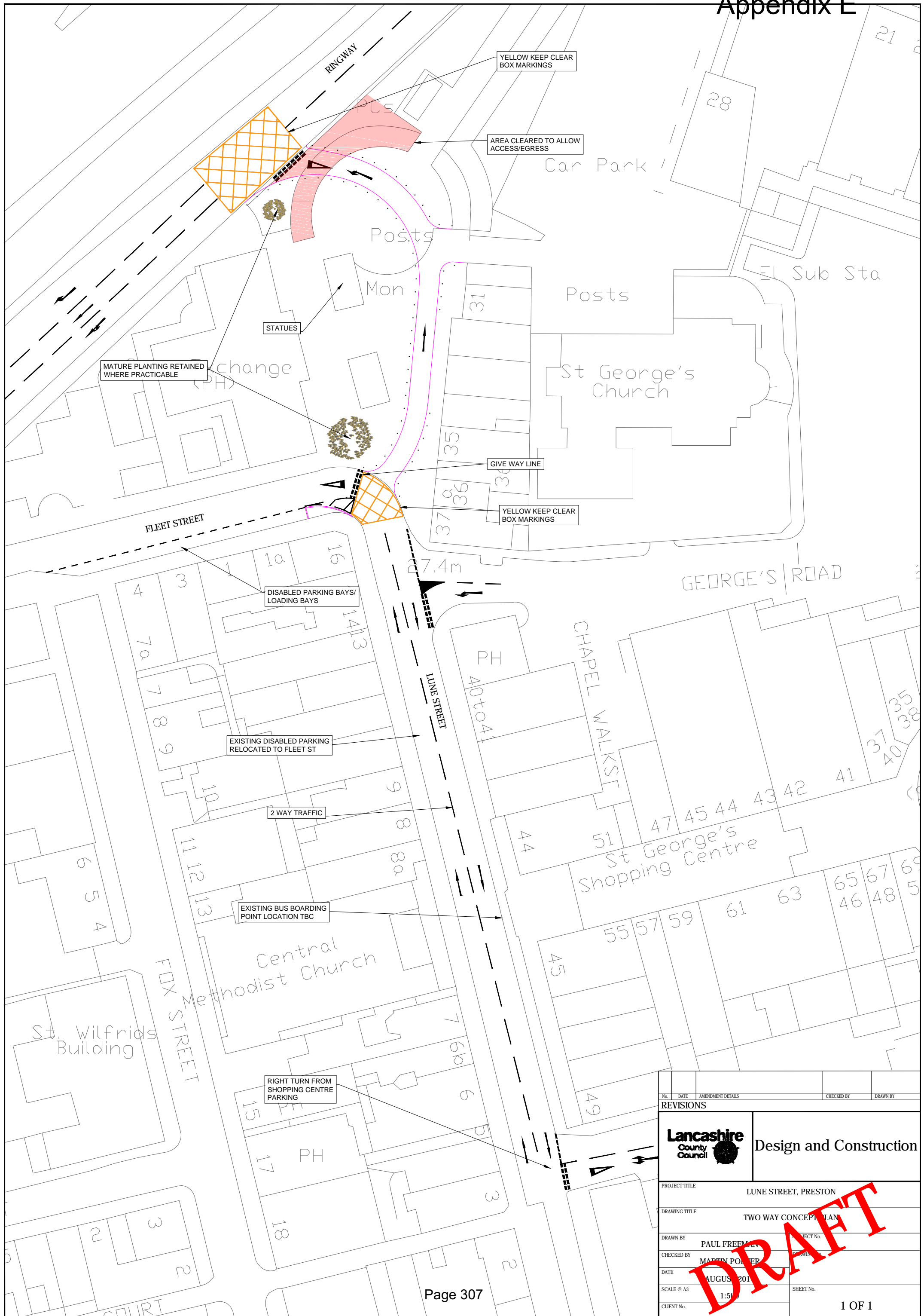


Not to scale

SignPlot v3.40

Lancashire County Council





| No.           | DATE | AMENDMENT DETAILS              | CHECKED BY | DRAWN BY  |
|---------------|------|--------------------------------|------------|-----------|
| REVISIONS     |      |                                |            |           |
|               |      | <b>Design and Construction</b> |            |           |
| PROJECT TITLE |      | LUNE STREET, PRESTON           |            |           |
| DRAWING TITLE |      | TWO WAY CONCEPT PLAN           |            |           |
| DRAWN BY      |      | PAUL FREEMAN                   |            |           |
| CHECKED BY    |      | MARTIN POWER                   |            |           |
| DATE          |      | AUGUST 2011                    |            |           |
| SCALE @ A3    |      | 1:50                           |            | SHEET No. |
| CLIENT No.    |      |                                |            | 1 OF 1    |

DRAFT



**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Director of Corporate Commissioning****Part I**

## Electoral Divisions affected:

Rossendale South, Rossendale West, Cleveleys East, Skelmersdale West, St Annes South, Mid Rossendale, Chorley Central, Rossendale East, Chorley South, Skelmersdale Central, Accrington West & Oswaldtwistle Central, South Ribble East, Whitworth and Bacup, Lancaster East, Lostock Hall & Bamber Bridge, Chorley Rural West, Burnley Central East, and Burnley North East, Burscough & Rufford, Euxton Buckshaw & Astley, Fylde West, West Lancashire East, Fleetwood East, Houghton-with-Wheelton, Poulton-le-Fylde, Ribble Valley North East, Fylde South, and Brierfield & Nelson West

**Additional Highway Maintenance Funding - Proposed Highway Projects and Resources (Planned Works) Programme**

(Appendix 'A' refers)

Contact for further information:

Janet Wilson, (01772) 538647, Commissioning Manager (Live Well),

[janet.wilson@lancashire.gov.uk](mailto:janet.wilson@lancashire.gov.uk)**Executive Summary**

This report requests approval of a proposed programme of work to be funded from the Highways Projects and Resources (Planned Works) allocation of £3 million approved by Cabinet on 20 July 2017.

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

**Recommendation**

The Cabinet is requested to approve the proposed programme of works at Appendix 'A', to be funded from the Highways Projects and Resources (Planned Works) allocation of £3 million approved by Cabinet on 20 July 2017.

## **Background and Advice**

On 20 July 2017, Cabinet approved revisions to the 2017/18 Budget including an additional £5 million of funding for highway maintenance. Of this, £3 million was allocated to fund planned capital works.

Subsequently on 10 August, Cabinet approved the proposed criteria to allocate this funding and approved that this allocation be used to improve the condition of the urban unclassified network.

The proposed programme is detailed at Appendix 'A'.

## **Consultations**

N/A

## **Implications:**

This item has the following implications, as indicated:

## **Risk management**

The County Council's approved Transport Asset Management Plan (TAMP) identifies the key strategic priorities of the County Council as the local highway authority and sets out how the County Council will manage its transport assets up to 2029/30.

Recent analysis suggests that this investment strategy will result in;

- Condition targets for the classified (A,B&C) network achieved earlier than envisaged.
- An overall improvement in the rural unclassified road network.
- A deterioration in the urban unclassified network (residential streets).

Investment in the urban unclassified network will reduce the rate of deterioration to the urban unclassified network.

## **Financial**

The proposed programme will be funded from the additional £3 million allocated to the Highways Projects and Resources (Planned Works) which was approved as part of the recent budget amendment.

## **List of Background Papers**

| Paper   | Date         | Contact/Tel                |
|---|--------------|----------------------------|
| The Environment Directorate's Draft Transport Asset Management Plan 2015- | 10 June 2014 | Dave Gorman/(01772) 534261 |



2030  
Revisions to the 2017/18 20<sup>th</sup> July 2017  
Budget

Additional Highway                      10<sup>th</sup> August  
Maintenance Funding -  
Proposed Apportionment  
Criteria

Reason for inclusion in Part II, if appropriate

N/A



## Additional Highway Maintenance Funding - Proposed Highway Projects and Resources (Planned Works) Programme

| Project Name     | District        | Division                                  | Road Number | Project Description   | Total Cost  |
|------------------|-----------------|---|-------------|---|-------------|
| Knowsley Road    | Rossendale      | Rossendale South                          | U7449       | Inlay of Knowsley Road, Haslingden  | £86,361.08  |
| Station Road     | Rossendale      | Rossendale West                           | U7298       | Carriageway resurfacing of Station Road, Haslingden                         | £20,880.03  |
| Ringway          | Wyre            | Cleveleys East                            | U21695      | Carriageway resurfacing Cleveleys Avenue to Allonby Avenue                  | £56,511.00  |
| Birch Green Road | West Lancashire | Skelmersdale West                         | U613        | Carriageway resurfacing of Birch Green Road and part of the estate          | £156,019.50 |
| Holmefield Road  | Fylde           | St Annes South                            | U6778       | Carriageway resurfacing St Albans Road to St Thomas Road                    | £57,739.50  |
| Fallbarn Road    | Rossendale      | Mid Rossendale                            | U7672       | Inlay of Fallbarn Crescent to the end                                       | £63,877.09  |
| Duke Street      | Chorley         | Chorley Central                           | U8792       | Carriageway resurfacing of Duke Street junction Pall Mall to Brindle Street | £68,124.01  |
| Crabtree Avenue  | Rossendale      | Rossendale East                           | U7820       | Carriageway resurfacing Wales Road to Fairfield Drive                       | £71,514.92  |
| Eaves Green Road | Chorley         | Chorley South                             | U8744       | Full length inlay   | £125,856.14 |
| Waldron          | West Lancashire | Skelmersdale West                         | U522        | Full length inlay   | £23,722.34  |
| Inskip           | West Lancashire | Skelmersdale Central                      | U607        | Full length micro asphalt   | £125,148.52 |
| Romiley Drive    | West Lancashire | Skelmersdale West                         | U532        | Full length carriageway resurfacing   | £10,546.67  |
| Hornby Street    | Hyndburn        | Accrington West and Oswaldtwistle Central | U11475      | Full length carriageway resurfacing   | £42,416.42  |
| Kellet Lane      | South Ribble    | South Ribble East                         | U10725      | Inlay Brindle Road to Tramway Lane  | £106,895.47 |
| Tonacliffe Road  | Rossendale      | Whitworth and Bacup                       | U47894      | Reconstruction of road  | £53,703.08  |
| Keswick Road     | Lancaster       | Lancaster East                            | U18383      | Inlay Ridge Lane to Derwent Road  | £61,425.00  |

| Project Name             | District        | Division                                  | Road Number | Project Description  | Total Cost  |
|--------------------------|-----------------|---|-------------|--|-------------|
| Duke Street              | South Ribble    | Lostock Hall and Bamber Bridge            | U13164      | Inlay Old Hall Drive to Station Road                           | £17,490.15  |
| Drinkhouse Road          | Chorley         | Chorley Rural West                        | U438        | Inlay Westhead Road to Moss Lane                               | £37,073.67  |
| Thirlmere Road           | Lancaster       | Lancaster East                            | U18384      | Whole length inlay   | £49,508.55  |
| Patterdale Road, Phase 2 | Lancaster       | Lancaster East                            | U18381      | Inlay from Thirlmere Road for a distance of 600m east          | £63,267.75  |
| Renshaw Drive            | South Ribble    | Lostock Hall and Bamber Bridge            | U13315      | Carriageway resurfacing Chorley Road to Holland Avenue         | £22,070.00  |
| Lomas Lane               | Rosendale       | Rosendale South                           | U7475       | Carriageway resurfacing New Barn Lane to Fall Barn Crescent    | £26,347.90  |
| Ormerod Road             | Burnley         | Burnley Central East & Burnley North East | U40610      | Full length inlay  | £152,212.38 |
| The Strand               | Wyre            | Fleetwood West and Cleveleys West         | U21910      | Carriageway resurfacing Broadway to Marine Parade              | £63,882.00  |
| Truscott Road            | West Lancashire | Burscough and Rufford                     | U404        | Full length micro asphalt                                      | £117,076.05 |
| Wallbank Drive           | Rosendale       | Whitworth and Bacup                       | U47898      | Carriageway resurfacing from Hall Street to Eastgate/ Westgate | £76,836.04  |
| Cotswold Avenue          | Chorley         | Euxton, Buckshaw and Astley               | U8862       | Inlay Bredon Avenue (south) to Grasmere Close                  | £30,356.24  |
| Brindle Road             | South Ribble    | South Ribble East                         | U10728      | Inlay from The Hospital Inn to Kellet Lane                     | £73,680.52  |
| Smithy Lane              | Fylde           | Fylde West                                | U16429      | Reconstruction works Hardhorn Road to Staining Old Road        | £154,791.00 |
| Greenfield Avenue        | West Lancashire | West Lancashire East                      | U369        | Full length inlay  | £46,293.57  |
| Poulton Road             | Wyre            | Fleetwood East                            | U22015      | Carriageway resurfacing Beach Road to Broadway                 | £85,995.00  |

| Project Name       | District        | Division                   | Road Number  | Project Description   | Total Cost           |
|--------------------|-----------------|----------------------------|--------------|---|----------------------|
| Tong Lane          | Rosendale       | Whitworth and Bacup        | U4894        | Inlay Market Street to Cowm Park Way South                  | £48,438.65           |
| Bournes Row        | Chorley         | Hoghton with Wheelton      | U16191       | Micro Asphalt Gregson Lane to the end                       | £36,707.58           |
| Clifford Street    | Chorley         | Chorley Central            | U8450        | Inlay Clifford Street and Chapel Street                     | £46,402.90           |
| St. Patrick's Road | Fylde           | St Annes South             | U6870        | Carriageway resurfacing St Thomas Road and St Albans Road   | £103,194.00          |
| Cumberland Avenue  | Wyre            | Cleveleys East             | U21696       | Carriageway resurfacing North Drive to Central Avenue North | £76,167.00           |
| Moorland Road      | Wyre            | Poulton Le Fylde           | U16370       | Carriageway resurfacing Garstang Road East to number 104    | £132,678.00          |
| Harewood Avenue    | Ribble Valley   | Ribble Valley North East   | U22751       | Carriageway resurfacing Harewood Avenue to the dead end     | £36,149.57           |
| Ashworth Lane      | Rosendale       | Rosendale East             | U7842        | Carriageway resurfacing Edge Lane to Ashworth Road          | £32,393.68           |
| Lodge Lane         | Fylde           | Fylde South                | U8111        | Retread West End Lane to Lytham Road                        | £102,579.75          |
| Oak Street         | Rosendale       | Whitworth and Bacup        | U47920       | Inlay Market Street to Heatherlands                         | £29,282.53           |
| Woodfield          | Chorley         | Hoghton with Wheelton      | U5402        | Micro Asphalt - whole of the estate                         | £114,528.02          |
| Ellerbrook Drive   | West Lancashire | Burscough and Rufford      | U383 & U3845 | Full length micro asphalt                                   | £51,410.27           |
| Humphrey Street    | Pendle          | Brierfield and Nelson West | U19650       | Resurfacing Humphrey Street to Bank Street to Chapel Street | £30,840.87           |
| <b>Total:</b>      |                 |                            |              |   | <b>£2,988,394.41</b> |



**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Director of Corporate Commissioning****Part I**

## Electoral Division affected:

Whitworth and Bacup, Ribble Valley South West, Rossendale East, Burnley Central West, Longridge with Bowland, Chorley Rural East, Lancaster Rural East, Ormskirk, Ribble Valley North East, West Lancashire East, Skelmersdale East/West, Preston Rural, Morecambe Central, Moss Side and Farington, Euxton, Buckshaw and Astley, Chorley Central, Houghton with Wheelton, Chorley Rural West, Burnley Rural, Pendle Rural, Heysham, Morecambe North, Preston Central East, Preston City, Rossendale West South Ribble West, Penwortham West, South Ribble East, West Lancashire West, Burnley Central East, Leyland Central, Leyland South, Padiham and Burnley West

**Highways and Transport Capital Programmes - Proposed Amendments**

(Appendix 'A' refers)

Contact for further information:

Janet Wilson, (01772) 538647, Commissioning Manager (Live Well),

[janet.wilson@lancashire.gov.uk](mailto:janet.wilson@lancashire.gov.uk)**Executive Summary**

As part of the normal process of service delivery the approved Highways and Transport Capital Programmes now require certain amendments in order to meet emerging priorities and to respond to some unanticipated service demands. It should be noted that the particularly wet weather over the summer months has negatively impacted on the delivery schedule. The proposed amendments including scheme cancellations are set out at Appendix 'A'.

**Recommendation**

The Cabinet is recommended to approve the proposed amendments to the Highways Capital Programme as set out at Appendix 'A'.

## **Background and Advice**

The following detailed highways and transport capital programmes of work have previously been approved by the Cabinet Member for Highways and Transport;

- 2015/16 New Starts Programme - 5 March 2015
- 2016/17 New Starts Programme - 18 April 2016
- 2017/18 New Starts programme – 13 March 2017

As part of the normal process of service delivery these detailed programmes of work now require certain amendments in order to meet the emerging priorities and to respond to some unanticipated service demands. It should be noted that the particularly wet weather over the summer months has negatively impacted on the surface dressing delivery schedule. The proposed amendments are set out at Appendix 'A'.

## **Consultations**

N/A

## **Implications:**

This item has the following implications, as indicated:

## **Risk management**

The changes are required to ensure that emerging highway priorities and unanticipated service demands can be addressed.

The best period of weather for surface dressing lies within the period May to mid-July. The rate of embedment will fall rapidly as roads cool down after September and it is for this reason that working beyond the end of September is not recommended. Additionally, if work was undertaken after September, the manufacturer Guarantee on the materials would not be valid.

## **Financial**

The financial implications of the proposed changes to the following programmes are net nil as they can be completed within the overall approved allocation of the programme:

- 2016/17 New Start DfT Incentive Fund
- 2016/17 New Start Local Priorities Response Fund
- 2016/17 New Start DfT Pothole Action Fund
- 2017/18 New Start Drainage
- 2017/18 New Start Bridges
- 2016/17 New Start Ribble Valley Growth Corridor



It is proposed that the first call on the proposed released funding from the following programmes is used to support the delivery of the remaining approved projects:

- 2016/17 New Start A, B and C Roads (£83,321)
- 2017/18 New Start A, B and C Roads – Surface Dressing (£6,707)
- 2015/16 New Start Bridges (£1,075)

It is proposed that the changes to the 2017/18 New Start A, B and C Roads programme (£33,075) and the 2017/18 New Start DfT Incentive Fund programme (£52,678) be funded from the approved 2016/17 New Start A, B and C Roads programme.

### List of Background Papers

| Paper   | Date          | Contact/Tel                |
|---|---------------|----------------------------|
| Report to Cabinet Member for Highways and Transport: Environment Directorate 2015/16 Highway Maintenance, Road safety and Public Rights of Way New Starts capital programme | 5 March 2015  | Dave Gorman/(01772) 534261 |
| Report to Cabinet Member for Highways and Transport: Proposed 2016/17 Highway Maintenance, Road Safety and Public Rights of Way New Starts Capital Programme                | 18 April 2016 |                            |
| Report to Cabinet Member for Highways and Transport: Proposed 2017/18 Highway Maintenance, Road Safety and Public Rights of Way New Starts Capital Programme                | 13 March 2017 |                            |

Reason for inclusion in Part II, if appropriate

N/A



**Proposed Amendments to the Approved Highways and Transport Capital Programmes**

| Project Details |                               |   |  |                              |                             |                  |                            |
|-----------------|-------------------------------|---|--|------------------------------|-----------------------------|------------------|----------------------------|
| No              | Scheme Name                   | Division/District                       | Change Required  | Original Approved Allocation | Additional Funding Required | Released Funding | Proposed Scheme Allocation |
|                 |                               |   | <b>2016/17 New Start DfT Incentive Fund</b>  |                              |                             |                  |                            |
| 1.              | Hall Street                   | Whitworth and Bacup, Rossendale         | This project was originally allocated £13,529 for patching several sections of this street in Whitworth. However, since it was first assessed, the whole of the carriageway has significantly deteriorated to such a poor state that it is no longer possible to only patch the original sections, as now the whole area needs to be resurfaced. It is proposed that the additional funding required is allocated from the unallocated budget within the programme.  | £13,529                      | £15,241                     | £0               | £28,770                    |
|                 |                               |   | <b>Revised 2016/17 New Start DfT Incentive Fund</b>  | <b>£13,529</b>               | <b>£15,241</b>              | <b>£0</b>        | <b>£28,770</b>             |
|                 |                               |   | <b>2016/17 New Start Local Priorities Response Fund</b>  |                              |                             |                  |                            |
| 2.              | Whitehalgh Lane Safety Scheme | Ribble Valley South West, Ribble Valley | This project was originally allocated £7,700 to build a new length of footway in Langho. However as the footway is on private land it has required extensive additional design time and liaison with local residents. The footway is also to be constructed on sloping ground so a retaining structure is required in addition to the footway construction. It is therefore proposed that the additional funding required is allocated from the unallocated budget within the programme.   | £7,700                       | £13,100                     | £0               | £20,800                    |
|                 |                               |   | <b>Revised 2016/17 New Start Local Priorities Response Fund</b>  | <b>£7,700</b>                | <b>£13,100</b>              | <b>£0</b>        | <b>£20,800</b>             |
|                 |                               |   | <b>2016/17 New Start DfT Pothole Action Fund</b>   |                              |                             |                  |                            |
| 3.              | Redgate                       | Ormskirk, West Lancashire               | This project was originally allocated £32,865 for machine patching and inlay works. However, since it was first assessed, other parts of the road have deteriorated further and as such more works are needed to complete the project. It is proposed that the additional funding required is allocated from the unallocated budget within the programme.  | £32,865                      | £39,534                     | £0               | £72,399                    |
|                 |                               |   | <b>Revised 2016/17 New Start DfT Pothole Action Fund</b>   | <b>£32,865</b>               | <b>£39,534</b>              | <b>£0</b>        | <b>£72,399</b>             |
|                 |                               |   | <b>2016/17 New Start A, B and C Roads</b>  |                              |                             |                  |                            |
| 4.              | C707 Fearn Moss               | Rossendale East, Rossendale             | This project was originally allocated £282,397 for a full reconstruction of the carriageway. However once the works commenced and the planing of the original road surface was carried out it was determined that the surface below was still in a sound condition and as such the scheme could be completed with just a 40mm surface course inlay and a full reconstruction was no longer required. Therefore, the costs of the project have been significantly reduced and it proposed that the remaining funds are released back into the programme to support other A, B and C road projects.  | £282,397                     | £0                          | £169,071         | £113,326                   |
|                 |                               |   | <b>Revised 2016/17 New Start A, B and C Roads</b>  | <b>£282,397</b>              | <b>£0</b>                   | <b>£169,071</b>  | <b>£113,326</b>            |
|                 |                               |   | <b>2017/18 New Start DfT Incentive Fund</b>  |                              |                             |                  |                            |
| 5.              | A679 Westgate                 | Burnley Central West, Burnley           | This project was originally allocated £159,675 to apply a 40mm Stone Mastic Asphalt surface course at this location. However, works associated with the Hyndburn Burnley Pendle Growth Corridor (largely funded by Growth Deal) are programmed to be delivered to upgrade/resurface roundabouts in the same vicinity the using a 40mm Hot Rolled Asphalt. This is a more expensive material but is more durable and will provide a longer life span. It is proposed, therefore, that this project is also completed using the more durable treatment. This investment will yield rewards to the county council as the highway surface will last longer. In order for these works to be carried out it is proposed that the additional funding required is allocated from the released A, B and C roads monies from project 4 above to allow the project to be completed. | £159,675                     | £52,675                     | £0               | £212,350                   |
|                 |                               |   | <b>Revised 2017/18 New Start DfT Incentive Fund</b>  | <b>£159,675</b>              | <b>£52,675</b>              | <b>£0</b>        | <b>£212,350</b>            |

| No | Scheme Name                        | Division/District  | Change Required  | Original Approved Allocation | Additional Funding Required | Released Funding | Proposed Scheme Allocation |
|----|------------------------------------|--|--|------------------------------|-----------------------------|------------------|----------------------------|
|    |                                    |  | <b>2017/18 New Start A, B and C Roads - Resurfacing/Inlay</b>  |                              |                             |                  |                            |
| 6. | B5269 King Street and Market Place | Longridge with Bowland, Ribble Valley  | This project was originally allocated £31,941 for patching a number of sections in this area of Longridge. However, since it was first assessed the whole of the carriageway has significantly deteriorated to such a poor state that it is no longer possible to just patch the original sections, as now the whole area needs to be resurfaced. As there is no unallocated budget within this year's programme it is proposed that the additional funding required is allocated from the released monies from project 4 in the 2016/17 A, B and C roads programme.   | £31,941                      | £33,075                     | £0               | £65,016                    |
|    |                                    |  | <b>Revised 2017/18 New Start A, B and C Roads - Resurfacing/Inlay</b>  | <b>£31,941</b>               | <b>£33,075</b>              | <b>£0</b>        | <b>£65,016</b>             |
|    |                                    |  | <b>2017/18 New Start A, B and C Roads – Surface Dressing</b>   |                              |                             |                  |                            |
| 7. | Various as described               | Chorley Rural East, Chorley, Lancaster Rural East, Lancaster, Ormskirk, West Lancashire, Ribble Valley North East, Ribble Valley, Rossendale East, Rossendale Preston Rural, Preston<br><br>West Lancashire East, Skelmersdale East, West Lancashire | <p>Due to other previously pre-scheduled works taking place in the vicinity of the locations detailed below, temporary traffic regulation orders cannot be obtained for these works in the remaining surface dressing season. As such it is proposed to cancel the projects from this year's programme and for them to be prioritised for funding in the 2018/19 capital programme;</p> <ul style="list-style-type: none"> <li>• A673 Chorley Road, Chorley; releasing £10,569</li> <li>• A683 Melling Road, Lancaster; releasing £61,293</li> <li>• A59 High Lane, West Lancashire; releasing £39,169</li> <li>• C553 Clitheroe Road, Ribble Valley, releasing £34,270</li> <li>• A671 Burnley Road, Rossendale; releasing £55,223</li> <li>• B5411 Tabley Lane, Preston; releasing £11,830</li> <li>• B5269 Whittingham Lane, Preston; releasing £15,736</li> </ul> <p>Due to the ongoing extreme rain conditions over the past few months, it will not be possible to deliver the following projects in the remaining surface dressing season. If schemes are carried out after the season closes then the Binder Manufacturer Guarantee on materials would not be valid meaning the road surfaces would be at risk of failing;</p> <ul style="list-style-type: none"> <li>• C161 Higher Lane, West Lancashire; releasing £35,963</li> <li>• C174 Bannister Lane, West Lancashire; releasing £20,788</li> <li>• C160 Cobbs Brow Lane, West Lancashire; releasing £6,918</li> <li>• C174 Robin Hood Lane, West Lancashire; releasing £19,559</li> <li>• C171 Green Lane, West Lancashire; releasing £7,417</li> <li>• C161 Beacon Lane, West Lancashire; releasing £3,607</li> <li>• C128 Intake Lane, West Lancashire; releasing £38,437</li> <li>• C126 Sinacre Lane/Moss Lane, West Lancashire; releasing £16,857</li> <li>• C126 Sinacre Lane, West Lancashire; releasing £29,708</li> </ul> | £422,916                     | £0                          | £407,344         | £15,572                    |
| 8. | A589 Marine Road Central           | Morecambe Central, Lancaster   | This project was originally allocated £29,899 for surface dressing works. However, since it was first assessed the road has deteriorated to such an extent that this treatment would no longer be appropriate. Patching has therefore been carried out on the road and it is proposed that this project is cancelled from this year's surface dressing programme and considered for inlay works in the 2018/19 capital programme.  | £29,899                      | £0                          | £29,899          | £0                         |
| 9. | C250 Comet Road                    | Moss Side and Farington, South Ribble  | This project was originally allocated £14,412 for surface dressing works. However, since it was first assessed the road has deteriorated to such an extent that this treatment would no longer be appropriate. Therefore, it is proposed that this project is cancelled from this year's surface dressing programme and considered for inlay works in the 2018/19 capital programme.   | £14,412                      | £0                          | £14,412          | £0                         |

| No  | Scheme Name          | Division/District  | Change Required   | Original Approved Allocation | Additional Funding Required | Released Funding | Proposed Scheme Allocation |
|-----|----------------------|--|---|------------------------------|-----------------------------|------------------|----------------------------|
| 10. | Various as described | Ribble Valley North East, Ribble Valley Chorley Rural East, Euxton, Buckshaw and Astley, Chorley Central, Houghton with Wheelton, Chorley Rural West, Chorley Burnley Rural, Burnley Pendle Rural, Pendle Heysham, Morecambe North, Lancaster Preston Central East, Preston City, Preston Rossendale West, Rossendale West Lancashire East, West Lancashire, South Ribble West, Penwortham West, South Ribble East, South Ribble | <p>The following surface dressing projects require additional funding to be able to complete the approved works within the surface dressing season. It is proposed that the additional funding required is allocated from the released funding of the above projects 7, 8 and 9 above.</p> <ul style="list-style-type: none"> <li>• A682 Burnley Road, Ribble Valley; requires an additional £13,414</li> <li>• A674 Blackburn New Road, Chorley; requires an additional £34,723</li> <li>• A646 Burnley Road, Burnley; requires an additional £8,860</li> <li>• A682 Gisburn Road, Pendle; requires an additional £15,279</li> <li>• C334 Aqueduct Street, Preston; requires an additional £5,721</li> <li>• A581 Balshaw Lane, Chorley; requires an additional £5,644</li> <li>• A5072 Strand Road, Preston; requires an additional £19,063</li> <li>• A589 Heysham Road, Lancaster; requires an additional £17,398</li> <li>• A6 Bolton Road, Chorley; requires an additional £12,646</li> <li>• B6236 Roundhill Road, Rossendale; requires an additional £13,409</li> <li>• A675 Bolton Road, Chorley; requires an additional £7,500</li> <li>• A675 Bolton Road (2), Chorley; requires an additional £8,288</li> <li>• A570 Rainford Road, West Lancashire; requires an additional £111,365</li> <li>• C246 Pope Lane and Cage Lane, South Ribble; requires an additional £18,334</li> <li>• A5105 Coastal Road, Lancaster, requires an additional £5,449</li> <li>• C243 Gill Lane, South Ribble; requires an additional £2,984</li> <li>• A59 Ringway/Guildway, Preston, requires an additional £15,798</li> <li>• C246 Pope Lane, South Ribble; requires an additional £7,361</li> <li>• A582 Golden Way, South Ribble; requires an additional £2,227</li> <li>• A59 Preston New Road, South Ribble; requires an additional £25,007</li> <li>• A683 Heysham Link (old section), Lancaster; requires an additional £72,046</li> <li>• A582 Golden Way (2), South Ribble; requires an additional £22,432</li> </ul> | £981,899                     | £444,948                    | £0               | £1,426,847                 |
|     |                      |  | <b>Revised 2017/18 New Start A, B and C Roads – Surface Dressing</b>  | <b>£1,449,126</b>            | <b>£444,948</b>             | <b>£451,655</b>  | <b>£1,442,419</b>          |

| No  | Scheme Name                          | Division/District  | Change Required   | Original Approved Allocation | Additional Funding Required | Released Funding | Proposed Scheme Allocation |
|-----|--------------------------------------|--|---|------------------------------|-----------------------------|------------------|----------------------------|
|     |                                      |  | <b>2017/18 New Start Bridges</b>  |                              |                             |                  |                            |
| 11. | Pinfold Bridge                       | West Lancashire West, West Lancashire East, West Lancashire Longridge with Bowland, Ribble Valley<br>Burnley Central East, Burnley | <p>The Pinfold Bridge carries the A570 Southport Road over the Leeds and Liverpool Canal and it now requires urgent maintenance work to address deterioration that is affecting the strength of the structure. In 2015/16 a study was undertaken and proposals developed for its refurbishment. The study identified that the construction stage of this project will cost £305,731, and it is proposed that the monies are reallocated from the following 2017/18 bridge projects to enable these urgent works to proceed. This project needs to be prioritised as it carries a major and well used route over the canal, and the structural deterioration needs to be addressed before the load carrying capacity of the bridge is compromised which would have significantly higher cost implications, as well as major impacts in the area should a weight restriction need to be introduced.</p> <ul style="list-style-type: none"> <li>• Ring O'Bells Canal, West Lancashire; technical issues identified during development of this strengthening project require further investigations meaning that this project cannot be delivered during 2017/18. As such it is proposed that this scheme is cancelled from this year's programme and will be considered for funding in 2019/20. This will release £104,342.</li> <li>• Sykes Cottage, Ribble Valley; it is proposed that the scope of this project is reduced to only develop a design solution for strengthening works with the construction works re-profiled and prioritised in consideration with other projects in the future years' bridges capital programme. This will release £70,108.</li> <li>• Curzon Street, Burnley; it is proposed that the scope of this project is limited to bridge footway design works with any further requirements considered for funding in 2018/19. This will release £25,000.</li> <li>• Danes House Canal, Burnley; this project has been investigated and developed to a stage where the work required has been fully identified with a revised cost estimate greater than the project's preliminary estimate. It is therefore proposed to release the current funding for these maintenance painting works and re-phase them into a future year's programme when the additional monies required (£215,000) can be secured. These can be deferred in the short term without significant risk to structural integrity and without significant future additional cost. Pinfold Bridge carries a more significant route on the A570, and is suffering from structural deterioration that that urgently needs to be addressed. This will release £106,281.</li> </ul> | £305,731                     | £0                          | £0               | £305,731                   |
|     |                                      |  | <b>Revised 2017/18 New Start Bridges</b>  | <b>£305,731</b>              | <b>£0</b>                   | <b>£0</b>        | <b>£305,731</b>            |
|     |                                      |  | <b>2015/16 New Start Bridges</b>  |                              |                             |                  |                            |
| 12. | 9285F1 Hargreaves Railway Footbridge | Leyland Central, Leyland South, South Ribble   | This project was originally allocated £18,605 for bridge maintenance works. However, during the project's development it was found that further technical assessments need to be completed. It is therefore proposed that the scope of the project is reduced to only address the immediate safety issues and release the remaining allocation back into the bridges programme to assist with other in-year pressures.  | £18,605                      | £0                          | £8,146           | £10,459                    |
| 13. | 305B1 Town End Canal                 | Morecambe North, Lancaster   | This project was originally allocated £6,000 for an options study. However more investigatory on-site development works need to be completed on the bridge, than was originally anticipated, to be able to bring the study to a conclusion. It is proposed that the additional funding required is allocated from the released funding detailed above in project 12 to allow the necessary works to be completed.   | £6,000                       | £7,071                      | £0               | £13,071                    |
|     |                                      |  | <b>Revised 2015/16 New Start Bridges</b>  | <b>£24,605</b>               | <b>£7,071</b>               | <b>£8,146</b>    | <b>£23,530</b>             |

| No  | Scheme Name                            | Division/District                 | Change Required  | Original Approved Allocation | Additional Funding Required | Released Funding | Proposed Scheme Allocation |
|-----|--|-----------------------------------|--|------------------------------|-----------------------------|------------------|----------------------------|
|     |  |                                   | <b>2017/18 New Start Drainage</b>  |                              |                             |                  |                            |
| 14. | Shop Lane, Higher Walton               | South Ribble East, South Ribble   | This project was originally allocated £40,000 to replace the highway culvert and increase its capacity. However, due to other works taking place in the area the culvert was able to be fully investigated with cleaning and jetting works carried out, which resolved the issues by successfully moving the obstructions so that the replacement works are no longer necessary. It is therefore proposed that the project is cancelled and the monies released back into the programme to assist with other in-year pressures.  | £40,000                      | £0                          | £40,000          | £0                         |
| 15. | Phase one, A6 Garstang Road, Broughton | Preston Rural, Preston            | It is proposed to allocate £51,000 to fund this high priority flood alleviation project on Garstang Road following extensive investigations into the long running flooding problems of residential properties in the area. The investigations have identified the need for improved drainage under the A6 Garstang Road and local public right of way and through school playing fields to the outfall at a brook south of Woodplumpton Lane. It is therefore proposed that phase one of these drainage works are taken forward as soon as possible so that the works can be carried out in conjunction with other highway works in this location, in order to share site and traffic management costs and minimise the additional disruption that would be caused to traffic flows and local access. It is proposed that the additional funding is allocated from the above proposed cancellation and £10,000 from the remaining monies from the unallocated budget within the programme. | £0                           | £51,000                     | £0               | £51,000                    |
| 16. | Preston Residual Surface Water Study   | Preston District                  | It is proposed to allocate £15,000 to commission this urgent study to investigate how a wider strategic drainage strategy might aid the management of excessive surface water in the North West Preston Masterplan area. As the Lead Local Flood Authority, the county council has a responsibility to lead on these issues and this study is required to review and understand the options of what future infrastructure can mitigate surface water run-off and manage surface water in the most sustainable, effective and appropriate way. It is therefore proposed that the funding required is allocated from the unallocated budget within the programme.  | £0                           | £15,000                     | £0               | £15,000                    |
| 17. | Geotechnics Advice                     | As necessary, countywide          | It is proposed to allocate £5,000 to fund necessary geotechnic investigations that will be required to deliver the approved programme. Over the course of a programme year developers submit proposals for sustainable drainage features in the new areas of highway to be adopted, where drainage relies on complex ground conditions which are outside the technical knowledge of highways and flood risk officers. In order to access specialist advice on the geotechnical issues involved, a budget of £5,000 is required for the specialist staff time. It is proposed that this is funded from the unallocated budget within the programme.   | £0                           | £5,000                      | £0               | £5,000                     |
|     |  |                                   | <b>Revised 2017/18 New Start Drainage</b>  | <b>£40,000</b>               | <b>£71,000</b>              | <b>£40,000</b>   | <b>£71,000</b>             |
|     |  |                                   | <b>2016/17 New Start Ribble Valley Growth Corridor</b>   |                              |                             |                  |                            |
| 18. | A678/A6068 Junction Upgrade            | Padiham and Burnley West, Burnley | Burnley Borough Council is leading on the development of a full business case to the Lancashire Enterprise Partnership (LEP) for Growth Deal 3 funding to upgrade the A678/A6068 junction. This stretch of the A6068 is identified in the East Lancashire Highways Masterplan as being severely congested. The cost of developing a design to inform the development of a business case is £28,237. As the junction improvement has wider strategic benefits to the highway network it is proposed that the county council fund the cost of the design works from the £1 million approved as part of the 2016/17 Ribble Valley Growth Corridor programme. These costs can be claimed back if the project receives LEP approval and on completion of a formal Growth Deal contract. However, these costs would be at risk should the project not be approved by the LEP Board.  | £0                           | £28,237                     | £0               | £28,237                    |
|     |  |                                   | <b>Revised 2016/17 New Start Ribble Valley Growth Corridor</b>   | <b>£0</b>                    | <b>£28,237</b>              | <b>£0</b>        | <b>£28,237</b>             |





**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of Service, Public and Integrated Transport**

|               |
|---------------|
| <b>Part I</b> |
|---------------|

|                                      |
|--------------------------------------|
| Electoral Divisions affected:<br>All |
|--------------------------------------|

**Revision to the Tendered Bus Service Network in Lancashire**

(Appendix 'A' refer)

Contact for further information:

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**Executive Summary**

This report recommends revisions and enhancements to the tendered bus service network in Lancashire aimed at providing links to communities, particularly in rural areas where people who do not have access to a car are most reliant on public transport services, and to increase the frequency on a number of services where there is most demand for additional journeys, to try and create more sustainable services for the future.

**Recommendation**

The Cabinet is recommended to:

- (i) Approve the proposed revisions to the tendered bus service network in Lancashire as set out at Appendix 'A'.
- (ii) Request that officers develop the detailed service schedules and undertake the necessary contract procurement process to allow the revised service network to commence from 10 December 2017.

This decision should be implemented immediately for the purposes of Standing Order 35 as any delay could adversely affect the execution of the County Council's responsibilities. The reason for this is to ensure that the revised tendered bus service network will commence from 10 December 2017.

**Background and Advice**

On 13 July 2017, the County Council's Cabinet committed an additional £1million to revise the tendered bus service network in Lancashire and that this funding will be

spent on forming new links between communities and enhancements to existing services.

The Cabinet Member for Highways and Transport has identified that the aims are to link communities, particularly in rural areas where people who do not have access to a car are most reliant on public transport services, and increase the frequency of a number of services where there is most demand, to try and create more sustainable services for the future.

With the level of budget available it is proposed to retain a focus on Monday to Saturday daytime service provision and develop proposals to provide sustainable services that also prioritise employment, education and social needs.

Utilising the County Council's Assessment and Priority Policy for Public Transport in Lancashire, an initial set of draft proposals was developed to deliver a tendered bus service network that complements the commercial bus service network, in accordance with the above mentioned aims.

The Lead Member for Highways and Transport hosted two drop-in sessions on 24 & 26 July 2017 for county councillors to consider draft proposals and put forward ideas based on their local requirements.

All comments received were taken into consideration, together with numerous requests the County Council has received from other stakeholders, in developing the proposed amendments to the tendered bus service network set out at Appendix 'A'.

A number of comments received related to the commercial bus service network, over which the Council has no control. Officers will discuss these comments with the commercial bus service providers to examine possible revisions to their network which may address some of the suggestions put forward.

It is not possible to fund every conceivable public transport need, within the level of budget available and so the proposals focus on the above-mentioned aims. These do not include incorporating Monday to Saturday evening or Sunday services. However the development of services at these times, when delivered in partnership with other stakeholders, such as local authorities or through the use of developer contributions, will continue to be considered, as they arise.

Subject to the approval of the Cabinet, detailed service schedules will be developed and put out for competitive tender with a proposed implementation date of 10 December 2017.

The County Council continues to financially support the Community Transport Service in Lancashire. Community Transport assists those residents in accessing local amenities but are unable to access the bus service network.

## **Consultations**

All county councillors have had the opportunity, in the drop sessions to discuss proposed revisions to the tendered bus service network and submit email responses to highlight areas for further consideration in the process. Direct feedback from other local representatives and residents received since the last review of tendered bus services in April 2016 has also been considered.

Whilst it is not possible to include all suggestions, the feedback received, together with views from other stakeholders, have helped shape the final proposals.

Representations were made to introduce services in the Lune Valley, the villages of Haskayne, Halsall and Shirdley Hill, between Earby and Skipton and daytime services between Rawtenstall and Todmorden. In these cases it is not proposed to seek tenders for new bus services, at this stage, but to work with operators and other stakeholders to investigate alternative options.

## **Implications:**

This item has the following implications, as indicated:

## **Procurement**

A framework agreement is in place for the procurement of Local and School Bus Services in Lancashire. All contracts are procured under this Framework by mini-competitions. The services will be contained within agreed individual contracts in accordance with the terms of the Framework Agreement.

## **Financial**

The net cost of the proposed new Tendered Bus Service Network is estimated in the region of £2.9m, although the final cost will not be known until a full competitive tender exercise has been undertaken. It is expected the cost will be contained within the revised budget of £3m per annum allocated to support tendered bus service provision.

## **Risk management**

As the individual Tendered Bus Service Contracts are subject to a full competitive tender exercise, there is a possibility the proposals could exceed the allocated budget. A further recommendation may be required to proceed with some of the proposals as proposed or seek alternative options for the Cabinet to consider.

## **List of Background Papers**

| Paper  | Date             | Contact/Tel                    |
|--|------------------|--------------------------------|
| Report to the Cabinet Member for Highways and Transport – 'Assessment and Priority | 12 December 2016 | Dave Gorman/<br>(01772) 534261 |

Policy for Public Transport  
Services in Lancashire'

Report to the Cabinet –  
'Revisions to the 2017/18  
Budget'

13 July 2017

Dave Gorman/  
(01772) 534261

Reason for inclusion in Part II, if appropriate

N/A

# Appendix A - List of Proposals for the Tendered Bus Service Network

| Bus Service Number(s) | Districts Served      | Bus Service Description                    | Proposed Days of Operation | Proposed Revisions/Details  |
|-----------------------|-----------------------|--|----------------------------|---|
| 001                   | Lancaster             | Lancaster Park & Ride                      | Monday to Saturday Daytime | No proposed changes at this time<br>General frequency retained at half hourly.<br>Service maintained with full cost funding provided by separate budget for Lancaster P&R   |
| 001                   | Preston, South Ribble | Preston Park & Ride (Walton-le-Dale)       | Monday to Saturday Daytime | No proposed changes at this time.<br>Frequency retained at up to every 10 minutes<br>Following Walton-le-Dale P&R's return to LCC control, a further report will be prepared for early 2018 examining options.  |
| 002                   | Ribble Valley         | Clitheroe - Low Moor Circular              | Monday to Saturday Daytime | Proposed to revise route and timetable to operate solely for Henthorn/Low Moor sections of route.<br>Other parts of route covered by proposed reinstatement of Peel Park Circular Service 4.<br>General frequency retained at every 30 minutes.<br>Part funded by S106 Development.   |
| 003                   | Ribble Valley         | Clitheroe - Sawley Circular                | Monday to Saturday Daytime | Proposed new service maintaining the link from Sawley (previously Service 7A) whilst reinstating a service along Pimlico Road.<br>General frequency retained at 2 hourly off-peak.  |
| 004                   | Ribble Valley         | Clitheroe - Peel Park Circular             | Monday to Saturday Daytime | Proposed new Service providing a requested full service for Peel Park. Service through Sabden to Padiham will be covered by new Service 64.<br>General frequency hourly.  |
| 005                   | Ribble Valley         | Clitheroe - Whalley - Longridge - Chipping | Monday to Saturday Daytime | Proposed to revise timetable to improve overall service reliability. Route adjustment in Clitheroe with the proposed reinstating of Peel Park Circular Service 4. Pendle Road will continue to be served and as well as the new development at Barrow Brook (off A59).<br>General frequency retained at every 90minutes/2 hourly. |
| 005                   | West Lancs            | Ormskirk - Aughton Town Green Circular     | Monday to Saturday Daytime | No proposed changes at this time.<br>General frequency retained at hourly.  |
| 006                   | West Lancs            | Ormskirk - Scott Estate Circular           | Monday to Saturday Daytime | No proposed changes at this time.<br>General frequency retained at hourly.  |

## Appendix A - List of Proposals for the Tendered Bus Service Network

| Bus Service Number(s) | Districts Served      | Bus Service Description   | Proposed Days of Operation | Proposed Revisions/Details   |
|-----------------------|-----------------------|---|----------------------------|--|
| 007/007A              | Ribble Valley, Pendle | Clitheroe - Waddington - West Bardford - Grindleton - Chatburn - (Sawley) - Barley - Blacko - Barrowford - Nelson | N/A                        | Service proposed to be withdrawn and replaced by a new Services 3/66/67  |
| 008                   | Pendle                | Nelson - Carr Hall Circular   | N/A                        | Service proposed to be withdrawn and incorporated within a new Service 66. General frequency retained at 2 hourly for this area.   |
| 009                   | Pendle                | Nelson - Brierfield Circular  | N/A                        | Service proposed to be withdrawn and incorporated within enhancements to Service 95/95A. General frequency enhanced to hourly for this area.   |
| 010                   | Rossendale            | Rawtenstall - New Hall Hey Circular   | Monday to Saturday Daytime | No proposed changes at this time. General frequency retained at hourly.  |
| 011                   | Rossendale            | Rawtenstall - Helmshore Circular  | Monday to Saturday Daytime | No proposed changes at this time. General frequency retained at hourly.  |
| 012                   | Rossendale            | Rawtenstall - Balladen Circular   | Monday to Saturday Daytime | No proposed changes at this time. General frequency retained at hourly.  |
| 013                   | Preston, South Ribble | Preston - Broadgate - Penwortham  | N/A                        | Service proposed to be withdrawn and replaced by an extension to Service 114.  |
| 014                   | Burnley               | Burnley - Clifton Farm Circular   | Monday to Saturday Daytime | Proposed to revise route and timetable, to improve overall reliability and no longer serving Sycamore Avenue, which will be covered by a new Services 64/65. General frequency retained at hourly. |

## Appendix A - List of Proposals for the Tendered Bus Service Network

| Bus Service Number(s) | Districts Served | Bus Service Description                                      | Proposed Days of Operation                  | Proposed Revisions/Details  |
|-----------------------|------------------|--|---|---|
| 015/015A              | Burnley          | Burnley - Rose Hill Circular                                 | Monday to Saturday Daytime                  | Proposed to revise route and timetable. Alternating journeys serving Rose Hill Road and Glen View Road.<br>General frequency enhanced to half hourly returning along Moorland Road, hourly each out via Rose Hill Road and Glen View Road.  |
| 015/015A              | Ribble Valley    | Blackburn - Mellor - Mellor Brook/Brockhall                  | N/A   | Service proposed to be withdrawn and replaced by the new Services 25/25A  |
| 018                   | Lancaster        | Lancaster East Circular                                      | Monday to Saturday Daytime                  | No proposed changes at this time.<br>Service maintained with full cost provided by S106 Developer funding until at least Autumn 2018.   |
| Page 332<br>24A       | Chorley          | Chorley - Wheelton - Brinscall - Abbey Village - (Blackburn) | Monday to Saturday Evening & Sunday Daytime | No proposed changes at this time - service provided in partnership with Chorley Borough Council<br>General frequency retained at 90 minutes for Monday to Saturday evening and hourly for Sunday daytime, which continues through to Blackburn.                                       |
| 025/025A              | Ribble Valley    | Clitheroe - Whalley - Brockhall - Mellor - Blackburn         | Monday to Saturday Daytime                  | Proposed to revise route and timetable, extending the service through from Mellor through to Clitheroe via Brockhall and Whalley partially replacing Service 15/15A.<br>General frequency retained every hour between Blackburn & Mellor, 2 hourly through to Clitheroe/Mellor Brook. |
| 029                   | Preston          | Preston - Frenchwood Circular                                | Monday to Saturday Daytime                  | Proposed new service replacing Service 112 on this section of route.<br>General frequency retained at hourly.   |
| 033                   | Lancaster        | Lancaster - Bare Circular                                    | Monday to Saturday Daytime                  | No proposed changes at this time.<br>General frequency retained at hourly.  |

## Appendix A - List of Proposals for the Tendered Bus Service Network

| Bus Service Number(s) | Districts Served               | Bus Service Description  | Proposed Days of Operation | Proposed Revisions/Details   |
|-----------------------|--------------------------------|--|----------------------------|--|
| 035                   | Ribble Valley                  | Longridge - Ribchester - Blackburn   | Monday to Saturday Daytime | Proposed to revise timetable to improve overall service reliability. General frequency enhanced to hourly.   |
| 051                   | Lancaster                      | Silverdale - Carnforth   | Monday to Saturday Daytime | Proposed minor adjustments to route and timetable to maintain links with train times. Frequency retained as generally hourly within Silverdale and 2 hourly through to Carnforth.  |
| 064                   | Ribble Valley, Burnley         | Burnley - Rosegrove - Padiham - Sabden - Whalley - Clitheroe   | Monday to Saturday Daytime | Proposed new service partially replacing Service 4 and provide a requested through link to Burnley from Sabden via Sycamore Avenue to partially replace Service 14. Frequency 2 hourly - in conjunction with Service 65, frequency hourly between Padiham and Burnley.   |
| Page 334<br>065       | Ribble Valley, Burnley, Pendle | Burnley - Rosegrove - Padiham - Fence - Barrowford - Nelson  | Monday to Saturday Daytime | Proposed to revise route and timetable to improve overall service reliability. To operate via Sycamore Avenue in Burnley to partially replace Service 14, although no longer serving Rose Hill, which will continue to be served by the enhanced Service 15/15A. Frequency generally 2 hourly - in conjunction with Service 65, frequency enhanced to hourly between Padiham and Burnley. In conjunction with Service 66, frequency enhanced to hourly between Fence and Nelson. |
| 066                   | Ribble Valley, Pendle          | Clitheroe - Waddington - West Bardford - Grindleton - Chatburn - Barley - Fence - Lomeshaye - Nelson   | Monday to Saturday Daytime | Proposed new service partially replacing Service 7/7A and enhancing the service over Pendle between Clitheroe and Nelson. Serves Carr Hall & Lomeshaye replacing Service 8. Frequency generally 2 hourly - in conjunction with Service 67, frequency hourly to all points between Clitheroe & Barley and through journeys to Nelson. In conjunction with Service 65, frequency enhanced to hourly between Fence and Nelson.  |
| 067                   | Ribble Valley, Pendle          | Clitheroe - Waddington - West Bardford - Grindleton - Chatburn - Barley - Blacko - Barrowford - Nelson | Monday to Saturday Daytime | Proposed new service partially replacing Service 7/7A and enhancing the service over Pendle between Clitheroe and Nelson. Frequency 2 hourly - in conjunction with Service 66, frequency hourly to all points between Clitheroe & Barley and through journeys to Nelson.   |
| 075                   | Wyre, Fylde, Preston           | Fleetwood - Cleveleys - Thornton - Poulton - Kirkham - Preston   | Monday to Saturday Daytime | Proposed to revise route and timetable to improve overall service reliability. Route amended between Thornton and Fleetwood to additionally serve Cleveleys and Pheasants Wood. General frequency enhanced from 2 hourly to hourly.  |



## Appendix A - List of Proposals for the Tendered Bus Service Network

| Bus Service Number(s) | Districts Served     | Bus Service Description  | Proposed Days of Operation | Proposed Revisions/Details   |
|-----------------------|----------------------|--|----------------------------|--|
| 076                   | Wyre, Fylde          | Lytham - Wrea Green - Kirkham - Elswick - Gt.Eccleston - Poulton - Blackpool | Monday to Saturday Daytime | Proposed new service reinstating a number of links along the route. Frequency 2 hourly - in conjunction with Service 77, frequency enhanced to hourly between Elswick and Blackpool.   |
| 077                   | Wyre, Fylde, Preston | Preston - Inskip - Elswick - Gt.Eccleston - Poulton - Blackpool              | Monday to Saturday Daytime | Proposed new service partially replacing Services 75A/80, extending through to Blackpool. Frequency 2 hourly - in conjunction with Service 76, frequency enhanced to hourly between Elswick and Blackpool. In conjunction with Service 77A, frequency enhanced to hourly between Preston and Great Eccleston.  |
| 077A                  | Wyre, Fylde, Preston | Preston - Inskip - Elswick - Gt.Eccleston - Myerscough                       | Monday to Saturday Daytime | Proposed new service partially replacing Service 80. Route will serve Cadley Mill Lane area in Preston. Frequency 2 hourly - in conjunction with Service 77, frequency enhanced to hourly between Preston and Great Eccleston.   |
| 080                   | Wyre, Fylde, Preston | Preston - Inskip - Elswick - Gt.Eccleston - Myerscough                       | N/A                        | Service proposed to be withdrawn and replaced by new Services 77/77A   |
| 081                   | Lancaster            | Lancaster - Hornby - Kirkby Lonsdale   | Monday to Saturday Daytime | Current 1840 departure from Lancaster to Kirkby Lonsdale retained. Proposed to work with operators to develop a sustainable option to restore a daytime service link for Gressingham, Arkholme & Whittington and the Lune Valley as a whole.   |
| 089                   | Lancaster, Wyre      | Lancaster - Glasson Dock - Pilling - Knott End                               | Monday to Saturday Daytime | Proposed minor adjustments to route and timetable to improve reliability. General frequency retained at every 90 minutes.  |
| 095/095A              | Burnley, Pendle      | Colne - Birtwistle Ave - Marsden Park - Nelson - Hospital - Burnley          | Monday to Saturday Daytime | Proposed to revise service in frequency to half-hourly from hourly, between Colne and Nelson extending hourly to Burnley or Brierfield Chatburn Park, partially replacing Service 8. Revised times to improve reliability. General frequency half-hourly between Colne and Nelson alternating via South Valley Drive/Boundary Mill off peak, extending hourly through to Burnley via Hospital. |

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# Appendix A - List of Proposals for the Tendered Bus Service Network

| Bus Service Number(s) | Districts Served               | Bus Service Description   | Proposed Days of Operation                  | Proposed Revisions/Details  |
|-----------------------|--------------------------------|---|---|---|
| 109A                  | Chorley                        | Chorley - Astley Village - Chorley Hospital   | Monday to Saturday Evening & Sunday Daytime | No proposed changes at this time - service provided in partnership with Chorley Borough Council General frequency retained at 90 minutes for Monday to Saturday evening and hourly for Sunday daytime.  |
| 112                   | Preston, South Ribble, Chorley | Preston - Bamber Bridge - Clayton Brook - Clayton Green - Leyland                         | Monday to Saturday Daytime                  | Proposed to revise route and timetable, extending service from Bamber Bridge through to Leyland via Walton Summit and Clayton Brook. No longer serving Sainsburys, alternative shopping facilities on the route.<br>General frequency hourly - in conjunction with Service 114, frequency every 30 minutes between Clayton Brook and Leyland.   |
| Page 114<br>336       | Preston, South Ribble, Chorley | Chorley - Clayton Brook - Clayton Green - Leyland - Farington Moss - Penwortham - Preston | Monday to Saturday Daytime                  | Proposed to revise route and timetable, extending service from Leyland through to Preston via Moss Side, Midge Hall, Farington Moss, Whitestake and Penwortham (to reinstate previously withdrawn commercial service and replace Service 13).<br>No longer serve Walton Summit, which will be covered by extended Service 112.<br>General frequency hourly - in conjunction with Service 112, frequency every 30 minutes between Clayton Brook and Leyland. |
| 244                   | Rosendale                      | Rawtenstall - Haslingden - Blackburn  | Monday to Friday AM Peak                    | No proposed changes at this time.<br>Retained AM peak return journey  |
| 312                   | West Lancs                     | Skelmersdale - Appley Bridge - Wrightington   | Monday to Saturday Daytime                  | No proposed changes at this time.<br>General frequency retained at hourly.  |
| 313                   | West Lancs                     | Skelmersdale - Birch Green - Ashurst - Parbold - Burscough                                | Monday to Saturday Daytime                  | No proposed changes at this time.<br>General frequency retained at half hourly between Skelmersdale and Ashurst and hourly through to Burscough.  |
| 315                   | West Lancs                     | Ormskirk - Haskayne - Halsall - Shirdley Hill - Southport                                 | Monday to Saturday Daytime                  | Proposed to work with operators to develop a sustainable option to restore a daytime service link between Ormskirk, Haskayne, Halsall, Shirdley Hill & Southport<br>General frequency 2 hourly.   |

## Appendix A - List of Proposals for the Tendered Bus Service Network

| Bus Service Number(s) | Districts Served    | Bus Service Description   | Proposed Days of Operation | Proposed Revisions/Details   |
|-----------------------|---------------------|---|----------------------------|--|
| 337                   | West Lancs, Chorley | Chorley - Charnock Richard - Eccleston - Croston - Mawdesley - Parbold - Burscough - Ormskirk | Monday to Saturday Daytime | Proposed new service reinstating a number of links along the route, including serving Burscough Industrial Estate.<br>General frequency 2 hourly - in conjunction with Service 347, frequency hourly between Chorley, Croston and Mawdesley. |
| 347                   | West Lancs, Chorley | Chorley - Charnock Richard - Eccleston - Croston - Mawdesley - Rufford - Southport            | Monday to Saturday Daytime | Proposed to revise route and timetable to additionally serve Croston.<br>General frequency 2 hourly - in conjunction with Service 337, frequency hourly between Chorley, Croston and Mawdesley.  |
| 465                   | Rossendale          | Rawtenstall - Bacup - Todmorden   | Monday to Saturday Daytime | Proposed to work with operators to develop a sustainable option to restore a daytime service link between Rawtenstall, Bacup & Todmorden service.<br>General frequency 2 hourly.   |
| Page 337<br>BC        | Pendle              | Earby- Skipton  | Monday to Saturday Daytime | Proposed to work with operators and stakeholders to explore options for a service to link Earby with Skipton   |



**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Director of Corporate Commissioning**

|               |
|---------------|
| <b>Part I</b> |
|---------------|

|  |
|--|
| Electoral Division affected:<br>Fylde East |
|--|

**Proposed Shared Use Cycle Track and Toucan Crossing - Blackpool Road, Kirkham (Junction with Ribby Road and Kirkham Bypass)**

(Appendix 'A' refers)

Contact for further information:

James Baron, (01772) 534218, Senior Engineer,

[james.baron@lancashire.gov.uk](mailto:james.baron@lancashire.gov.uk)

**Executive Summary**

This report recommends a change of use regarding the present footway on the A583 Blackpool Road, west of its junction with the Kirkham Bypass roundabout, to a shared-use cycle track and the installation of a toucan crossing as part of Section 278 highway improvements. The improvements are required to fulfil the planning conditions relating to a housing development.

The report also summarises the results of the public consultation and advertising of the proposed scheme.

**Recommendation**

The Cabinet is recommended to:

- (i) Approve the removal of footway and the installation of a proposed 3m wide shared use cycle track and toucan crossing, located at the roundabout junction of the A583 and A585, where the southern end of the Kirkham and Wesham bypass meets Blackpool Road (detailed at Appendix 'A').
- (ii) Approve that the S278 funding for this scheme, estimated at £235,000, be added to the 2017/18 Highways Block of the capital programme as it is envisaged that this funding will be required in 2017/18.

## **Background and Advice**

As part of a large housing development west of Blackpool Road/Kirkham Bypass roundabout, planning conditions were put in place under a Section 278 Agreement to improve pedestrian and cyclist safety and accessibility in the vicinity.

The proposed scheme to address these planning conditions includes the removal of footways and the construction of a 3m wide shared use cycle track over which the public have right of way both on foot and pedal cycle. This would extend from the housing development west of Blackpool Road/Kirkham Bypass roundabout to the east side of the roundabout junction. The scheme also includes a 'toucan' signal controlled crossing at the A585 arm of the A583 roundabout to allow pedestrians and cyclists to cross safely. The location and extents of these measures are shown on the general arrangement plan at Appendix 'A'.

Planning permission was granted for the scheme in November 2013.

Design work and formal consultation was carried out in 2015, however further progress was then deferred by the developer until June 2017.

The proposed scheme has undergone a Stage 2 Safety Audit.

## **Consultations**

During October 2015, a public consultation was carried out concerning the proposed toucan crossing. It was also formally advertised on site. The layout of the proposed crossing is detailed at Appendix 'A'.

Lancashire Constabulary has made no objection to the proposals.

The divisional County Councillor raised two objections:-

*(i) The use of the new Toucan crossing would exacerbate traffic congestion in the area during peak travel times.*

*(ii) That the members of the Development Control Committee at Fylde were advised that the County Council would not approve of a crossing on an A road in Little Eccleston as it was not County policy to install crossings on A roads. The question was asked that if this was the case, why was this proposal being put forward?*

## **Response**

The Toucan crossing was established as a requirement for the new housing development by the local planning authority following County Council highway advice. The objection on congestion grounds is noted, however the crossing will only activate when there is a demand by cyclists or pedestrians and it is not envisaged this would cause any significant impact on traffic movements in the area, even at peak times.

The County Council does not have a policy which indicates that crossings of this type should not be installed on 'A' roads as each crossing is individually assessed taking into account the local circumstances.

The proposal has taken into account the Equality Act 2010.

In conclusion, the location proposed for the toucan crossing is considered appropriate having balanced the issues raised by the objector with the need to locate the crossing on a desire line for vulnerable road users who experience difficulty crossing at this location.

The cycle track will mean that highway users on foot and on pedal cycle can safely share the same space and that cycle users will not have to use the carriageway.

### **Implications:**

This item has the following implications, as indicated:

#### **Risk management**

Vulnerable road users attempting to cross the A585 Kirkham Bypass will be at less risk if the proposals are implemented.

The shared cycle track will be able to be used safely by highway users on foot and on pedal cycle as the width will be 3 metres which will provide for safe use and meets relevant regulations.

#### **Financial**

This scheme will be funded through a Section 278 Agreement which means there is no financial risk to the County Council for the construction and supervision phases of the project. The estimated cost of the scheme is £235,000. The funding will be added to the 2017/18 Highways Block of the capital programme and it is envisaged that this funding will be required in 2017/18. Any additional funding requirements for the proposals will be funded by the developer and added to the capital programme.

#### **Legal**

The toucan crossing would be installed under the Road Traffic Regulation Act 1984.

The legal procedure to convert a footway to a cycle track is under Section 66 of the Highways Act 1980 to remove the footway, and under Section 65 to construct a cycle track.

Under Section 66 the Highways Authority is under a duty to provide proper and sufficient footways for use on foot only by the made-up carriageways where it is considered necessary or desirable for the safety or accommodation of pedestrians.

Such footways can be removed under the Highways Act provision and this may be appropriate where a discrete footway is no longer necessary and a cycle track will provide a safe shared use area for pedestrians.

### List of Background Papers

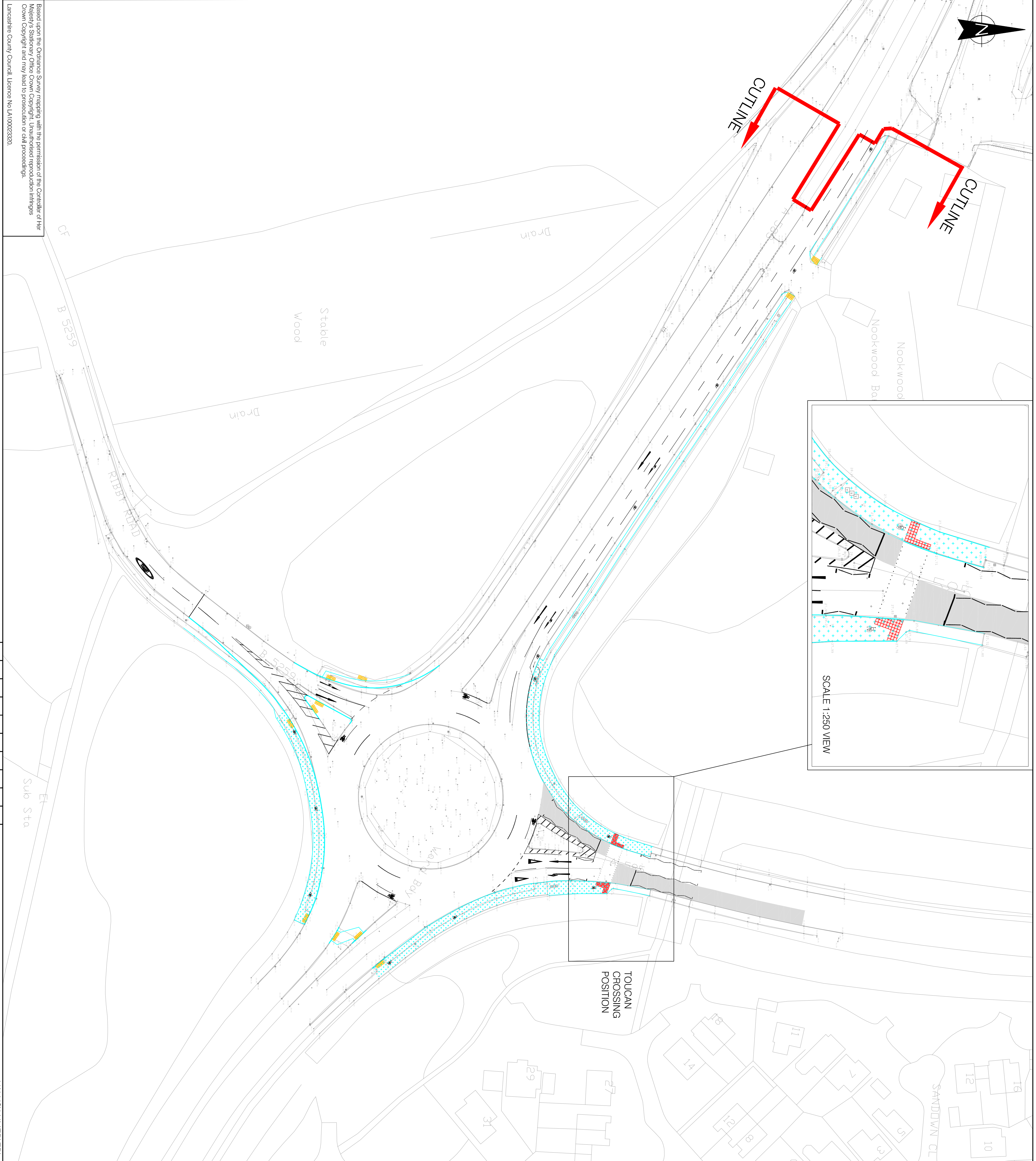
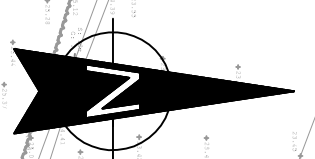
| Paper | Date | Contact/Tel |
|-------|------|-------------|
|-------|------|-------------|

None

Reason for inclusion in Part II, if appropriate

N/A





TOUCAN CROSSING POSITION

- KEY**
- New Kerbline
  - Road Markings
  - New Tactile Paving
  - 3m wide shared use cycleway
  - Anti-Skid Surfacing
- NOTES**
- Work to tie in with Story Homes' scheme west of cutline.

| No.              | DATE | AMENDMENT DETAILS | CHECKED BY | DRAWN BY |
|------------------|------|-------------------|------------|----------|
| <b>REVISIONS</b> |      |                   |            |          |
|                  |      |                   |            |          |



**Design and Construction**

|                      |   |
|----------------------|---|
| <b>PROJECT TITLE</b> | CHD4D2011<br>BLACKPOOL ROAD, KIRKHAM          |
| <b>DRAWING TITLE</b> | S278 IMPROVEMENT WORKS<br>GENERAL ARRANGEMENT |
| <b>DRAWN BY</b>      | J MARTIN                                      |
| <b>CHECKED BY</b>    | J BARON                                       |
| <b>DATE</b>          | JUNE 2015                                     |
| <b>SCALE @ A1</b>    | 1:500   |
| <b>CLIENT No.</b>    | CHD4D2011                                     |
| <b>PROJECT No.</b>   | CHD4D2011                                     |
| <b>DRAWING No.</b>   | CHD4D2011-100-001                             |
| <b>SHEET No.</b>     | 1 OF 1  |

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**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of Asset Management**

|               |
|---------------|
| <b>Part I</b> |
|---------------|

|                                      |
|--------------------------------------|
| Electoral Divisions affected:<br>All |
|--------------------------------------|

**Trash Screen Code of Practice**

(Appendix 'A' refers)

Contact for further information:

Paul Binks, (01772) 532210, Highway Asset Manager

[paul.binks@lancashire.gov.uk](mailto:paul.binks@lancashire.gov.uk)

**Executive Summary**

The County Council as Highway Authority is responsible for ensuring that its highway and associated assets are maintained in a safe condition and to an appropriate standard.

The Trash Screen Code of Practice which is set out at Appendix 'A' outlines the procedures the county council will adopt to inspect clean and maintain its trash screens. The code of practice also outlines the methodology used to place each trash screen into a hierarchy which will be used when heavy rain forecasts are received to carry out non-routine response visits pre event, during and post event.

**Recommendation**

The Cabinet is recommended to approve the adoption of the Trash Screen Code of Practice, as set out at Appendix 'A'.

**Background and Advice**

Trash screens are generally installed on the ends of culverts for two main reasons:

- Reduce the amount of trash and debris entering the culvert where it could cause damage and/or a blockage;
- Prevent unauthorised access to the culvert;

Whilst a properly designed screen can reduce or even eliminate the probability of debris blockage, trash screens themselves can cause severe problems and lead to localised flooding problems arising from a blockage of the screen.

It is anticipated that the implementation of this Code of Practice will ensure that trash screens:

- Perform as designed;
- Are fit for purpose;
- Provide value for money;
- Are maintained on regular basis;
- Minimise both the flood and general health and safety risks

To try and reduce the consequences of flooding should a trash screen become blocked and cause localised flooding a risk matrix has been devised to place each trash screen into one of the following categories:

- High – risk of flooding internal property;
- Medium - risk of flooding roads /highway;
- Low – none of the above.

The code of practice also outlines the methodology used to place each trash screen into a hierarchy based on the above categories which will be used when heavy rain forecasts are received to carry out non-routine response visits pre event, during and post event.

## **Consultations**

N/A

## **Implications:**

This item has the following implications, as indicated:

## **Risk management**

No significant risks have been identified in relation to the proposals contained within this report.

## **Financial**

There are no financial implications as a result of this report. Any expenditure will be managed within the existing revenue budget.

## Legal

Failure to maintain trash screens may result in damage claims from residents arising from flooding possibly caused by trash screens that have not been maintained appropriately. A Code of Practice should not seek to indicate a level of action which the authority may find difficult to meet but be reasonable and consistent. It should also be measured and appropriate.

### List of Background Papers

| Paper | Date | Contact/Tel |
|-------|------|-------------|
|-------|------|-------------|

None

Reason for inclusion in Part II, if appropriate

N/A



DRAFT

Trash Screen Code of Practice

V0.8

## Contents

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## 1 – Introduction

This code of practice (CoP) has been written with reference to the 'Trash and Security Screen Guide 2009' published by the Environment Agency (EA) which outlines good practice for the design, assessment, management and operation of trash and security screens across culverts in England and Wales.

Trash screens are generally installed on the ends of culverts for two main reasons:

- Reduce the amount of trash and debris entering the culvert where it could cause damage and/or a blockage;
- Prevent unauthorised access to the culvert.

In addition, trash screens may also be installed upstream and remote of the culverts to intercept trash and debris. Whilst a properly designed screen can reduce or even eliminate the probability of debris blockage, trash screens themselves can cause severe problems and lead to localised flooding problems arising from a total or partial blockage of the screen. Where this occurs, water will find an alternative route which in some cases may cause minimal nuisance with, for example, water overflowing onto adjacent open land or flowing at a shallow depth across a road. However, blockages to trash screens could cause extensive flooding. Incidents of flooding may lead to legal action being taken against the authority.

This CoP considers the trash screens which are the responsibility of the County Council as the highway authority and promotes the use of a risk-based approach to assessing the management and operation of all existing trash screens to ensure optimum performance. It is anticipated that the implementation of this CoP will seek to ensure that trash screens:

- Perform as designed;
- Are fit for purpose;
- Provide value for money;
- Are maintained on regular basis;
- Minimise both the flood and general health and safety risks.

## 2 – Justification of Trash Screens

The EA state in their design guidance note the 'we discourage the use of any form of screen except in circumstances where the benefits are significant and outweigh the risks'.

The objective of a trash screen should not be to trap as much debris as possible. In fact, the screen should trap as little debris as possible commensurate with the aim of preventing material that could cause a blockage from progressing downstream.

The type of trash screen required will depend upon the nature of the debris in the watercourse which can be loosely classified into three types:

- Coarse debris (such as boulders and tree trunks);
- General debris (anything from branches/plants to armchairs and oil drums);
- A combination of coarse and general.

The distinction between debris types and trash screen types is not clearly defined, and relates mainly to the spacing of the bars on the screen. However, coarse screens are often placed some distance upstream of the culvert and are designed to overtop when obscured by debris whereas general debris screens are usually situated at the inlet to the culvert.

Where it is considered that the benefits of a trash screen no longer outweighing the risks then it should be considered to be removed.

### **3 – Maintenance of Trash Screens**

All screens, regardless of their primary purpose, will collect debris which may obstruct water flow, causing the upstream water level to rise and increase the probability of flooding.

In order to mitigate against the risk of this happening, it is important that procedures are put in place to maintain the trash screens which are maintainable by the Highway Authority. Typical maintenance activities include:-

- Regular inspections and cleaning of the screen with the safe disposal of accumulated debris
- Non-routine response in the event that the screen becomes blocked with trash in times of flood flow
- Maintaining the screen in a safe working condition

In order that these activities can be carried out safely, access to trash screens should wherever possible be via steps and handrails. Where these facilities are not provided and absence presents a hazard to operatives and inspectors, such sites need reporting to the Highway Asset Manager so that consideration can be given to funding this work. Notice of entry or consideration of easement arrangements may be required to access some structures and legal advice will be sought.

#### **Risk Assessments**

The safety of operatives and other staff whilst visiting a trash screen to carry out maintenance, cleaning or inspection works is paramount. Given the different locations and terrain in which trash screens are located it is essential that risk assessments are in place for each trash screen.

The risk assessments will record where access is difficult, or the trash screen has known issues or hazards. All risk assessments should be stored in individual site folders.

#### **Site Specific Details**

It is recommended individual folders are created for each trash screen. These should contain information relating to:-

- Decisions regarding the design and assessment of a new trash screen
- Site-specific issues
- Details of risk assessments
- Trash screen assessments carried out
- Maintenance / inspection regimes
- Audit trail detailing any changes to maintenance / inspection regimes
- Health and safety issues

## 4 – Trash Screen Assessments

### Record of Existing Screens

As the Lead Local Flood Authority, Lancashire County Council has a duty, under the 2010 Flood and Water Management Act, to maintain an asset register of structures likely to have a significant effect on a flood risk in its area, and a record of information about each of those structures or features, including information about ownership and state of repair. As part of this we are recording information on trash screens, which are published on the Flood Risk Asset Register and recorded on the Highways Asset Management System (HAMS). This work is currently undertaken by the Asset Management Team. (Trash Screens that are recorded on HAMS are screens that have been identified as either privately owned and maintained, ones that are owned and maintained by other organisations such as the Environment Agency or ones that are either owned and maintained by Lancashire County Council or just maintained by Lancashire County Council).

### Detail recorded

It may be necessary to further review the detail recorded regarding individual trash screens, this may be prompted by:

- Changes to the characteristics of the watercourse and associated debris
- Changes to the flood discharge under which the asset must perform satisfactorily
- Changes to the asset management regime
- Recognition that the trash screen has reached the end of its design life
- Failure of the trash screen
- Changes to surrounding terrain making access more difficult or unsafe
- Flood Risk Management / Highways becoming aware of new issues

Assessment of an existing location including the screen and surrounding vegetation may reveal that the characteristics of the screen, watercourse and location are unchanged, however it may be that the land use has changed or that the benefits of the trash screen (i.e. preventing flooding or protecting bridges and culverts from blockage or damage) no longer exist. In such situations, the maintenance regime may need to be reconsidered and revised accordingly.

To ensure good practice, all decisions made during the assessment will be recorded and the file details updated as appropriate. Where it is determined that there is no longer a need for a trash screen this may be removed.

The trash screen assessment form is found in Appendix 1.

## 5 - Risk Management Matrix

In order that trash screens are inspected, cleaned and maintained at sufficient frequencies to try to prevent flooding incidents, and that these are consistent across Lancashire a risk management matrix has been compiled which takes into account the following factors, which are not listed in order of importance :-

- proximity to the resilient road network
- proximity to emergency service and military installations
- proximity to schools, hospitals and electricity substations
- proximity to domestic and commercial property
- proximity to higher risk routes
- number of people per hectare
- in a flood risk area

To seek to reduce the consequences of flooding should a trash screen become blocked to the extent that water is restricted from entering the culvert and causes localised flooding, the risk matrix has been weighted by doubling all scores relating trash screens in flood zone 3 areas, proximity to higher risk routes and the resilient road network.

As a result of this work each trash screen has been placed into one of the following categories:-

- High
- Medium
- Low

In addition, should flooding occur, or following a change in site circumstances, further assessments of a trash screen should be considered. The criteria set out on and be undertaken on the trash screen assessment form, found in Appendix 1. The trash screen will then be reassessed and the inspection frequency may be adjusted.

### Proposed Inspection Frequencies

Proactive Inspections:

To endeavour to prevent flooding as a result of blocked trash screens is a priority for the County Council. On receipt of a severe weather warning for heavy rain, inspection visits will be arranged to be carried out pre-event, during and post event starting with high risk screens.

Pre-event inspections will be prioritised by the Area Highways Manager, or deputy, considering trash screen risk category and when the screen was last inspected and cleared. Depending on the prevailing conditions it may not be possible to visit all priority sites. Once high risk screens have been inspected, and there is sufficient time before the heavy rain is forecast, inspection visits will be made to medium risk screens and when those are done to low risk screens. If a screen of a lower risk is in very close proximity to one being inspected, the earlier inspection of said lower risk screen may be carried out immediately following the inspection of the higher risk one. During these visits any debris considered by the inspectors to be liable to contribute to flooding will be removed. It is proposed that such visits are to those areas which are the subject of an extreme weather warning for heavy rain.

During event inspections will be prioritised by the Area Highways Manager, or deputy, considering information gathered during the pre-event inspections, any additional relevant information and considering the trash screen risk categories.

Post event inspections will be prioritised by the Area Highways Manager, or deputy, considering information gathered during earlier inspections, any additional relevant information including advanced weather forecasts, and considering the routine inspection schedule.

Routine inspections:

It is proposed that the routine inspection and maintenance visits are carried out at frequencies that reflect both the consequences and probability of flooding as set out below:-

| <b>Task</b> | <b>Frequency</b> | <b>Applicable to Risk Scores</b> |
|-------------|------------------|----------------------------------|
| Inspection  | Monthly          | High Risk                        |
| Inspection  | Quarterly        | Medium Risk                      |
| Inspection  | Twelve Monthly   | Low Risk                         |

The Highways Managers (West & East), Highways Service are responsible for adherence to this Code of Practice with operational responsibility for delivery being the responsibility of the Area Highways Managers.

An inventory of the trash screens that are cleaned and/or maintained by the County Council will be stored in Insight the countywide Highway Asset Management System.

Trash screens, along with other flood risk assets can be found on the flood risk register available at:

<http://www.lancashire.gov.uk/council/strategies-policies-plans/environmental/lancashire-and-blackpool-flood-risk-management-strategy.aspx>

**Trash Screen Assessment**

(Using Environment Agency publication 'Trash and Security Screen Guide 2009')

| <b>Assessment criteria</b>   | <b>Comments</b> |
|--|-----------------|
| <ul style="list-style-type: none"><li>• Is it in good working order?</li><li>• Does existing screen perform?</li><li>• What are the consequences of not screening the location?</li><li>• Is there still a need for a screen at the site?</li><li>• Assess the suitability of the operational procedures and update where required</li><li>• Is appropriate documentation in place, including H&amp;S file and Operational Plan?</li><li>• Is access still safe – are there any modifications required?</li><li>• Assess condition of the screen, has there been any damage since the last assessment?</li></ul> |                 |
| <b>Report outcome to Highway Asset Manager</b>   |                 |





**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of Service: Policy, Information and Commissioning  
(Start Well)****Part I**Electoral Divisions affected:  
All**Children and Young People's Emotional Wellbeing and Mental Health**  
(Appendix 'A' refers)

Contact for further information:

Dave Carr, (01772) 532066, Head of Service: Policy, Information and Commissioning  
(Start Well)[dave.carr@lancashire.gov.uk](mailto:dave.carr@lancashire.gov.uk)**Executive Summary**

Services provided by Lancashire County Council play an important part in continuing to improve the resilience, emotional wellbeing and mental health of children and young people. Clinical Commissioning Groups (CCGs) across Lancashire have established a project to redesign Child and Adolescent Mental Health Services (CAMHS), to ensure that more children and young people are able to access NHS funded community services. Alongside this activity, the wider Lancashire Children and Young People's Resilience, Emotional Wellbeing and Mental Health Transformation Programme will continue, to help ensure that all children and young people with a diagnosable mental health condition are able to receive appropriate support. To ensure that the County Council remains well placed to contribute to this overall Transformation Programme, greater clarity is needed as to the future funding of services, which form a critical element of the overall system.

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

**Recommendation**

The Cabinet is recommended to:

- (i) Commit to continue the current level of County Council investment in the non-statutory Emotional Health and Wellbeing Core Offer (subject to any further budget reviews and potential reductions that may take place as a result of the financial gap that the County Council is forecasting).

- (ii) Continue to ensure that consideration is given to the impact on the emotional wellbeing and mental health of children and young people, when making investment or disinvestment decisions.
- (iii) Agree to continue to work with Partners, as part of the Pan-Lancashire Children and Young Peoples Resilience, Emotional Wellbeing and Mental Health Transformation Programme.

## **Background and Advice**

On 20 June 2017, the Lancashire Health and Wellbeing Board considered proposals for the redesign of Child and Adolescent Mental Health Services (CAMHS).

The County Council undertook to provide a report to Cabinet Members recommending that:

- The redesign proposals were not fully endorsed by the County Council, unless certain key issues were addressed as part of the proposals
- The current level of investment in services not in scope of the redesign proposals was maintained, where possible
- The County Council continues to support and influence the Transformation Programme, through the pan-Lancashire Programme Board.

## **Redesign proposals**

Clinical Commissioning Groups (CCGs) have agreed to proceed with a CAMHS redesign project, which seeks to address challenges faced by the CAMHS system. These include the introduction of the new national CAMHS Access target, a shift in Lancashire County Council's investment away from specialist CAMHS services to strengthen our prevention, and early help offer and delivery of CAMHS services on the Sustainability and Transformation Partnership (STP) footprint.

The County Council's Officers made a number of observations regarding the proposals which are summarised as follows:

- The risk that, should only the national access target of 35% be met, 65% of children and young people in Lancashire with a diagnosable mental health condition (circa 20k) will not be in treatment with an NHS community funded service;
- Ongoing challenges in the variation of spend per prevalent population for each CCG area;
- That as a consequence, delivery in local areas will be influenced by local investment decisions and perpetuate the existing variation in provision and outcomes.

The issue of the 35% target, and the 65% who will not be in treatment with an NHS community funded service has been the subject of much discussion. The Lancashire Health and Wellbeing Board received confirmation that the Access Target was in line with NHS England's expectations of CCGs nationally, and greatly improves the current situation in Lancashire, with a 7% year on year "stretch" target once the 35% is achieved. Furthermore, not all children and young people with a diagnosable mental health condition are expected to want, or need, an NHS funded intervention.

The Lancashire Health and Wellbeing Board also received clarity that the focus of redesign activity was not just around one target. CCGs will continue to work with Partners to deliver against the other 26 objectives in the Transformation Plan which covers the whole spectrum of need and range of standards and targets. However, given the current focus of CCGs on achieving the National Access Target, it is increasingly important that other partners within the system, including the County Council, consider carefully their role in helping to ensure that appropriate services and support are available for the other 65% who will not be in treatment in Lancashire, as well as the 90% of children and young people in Lancashire who do not have a diagnosable mental health condition.

The Programme Team reported to the Health and Wellbeing Board that the issue of historical variation in spend had to be considered across the STP work programme, and could not be tackled in isolation in the children and young people's agenda. Given that, the redesign programme will deliver a minimum core and standardised offer, which can subsequently be used, where appropriate, to challenge future investment decisions at a local level.

An NHS project team has now been established to take forward the development and implementation of the redesign project. The County Council, whilst not part of this core project team, will still have continued influence through the pan Lancashire Transformation Board and, where appropriate, will work with the project team to support the successful delivery of the redesign project.

### **County Council investment in services to support emotional wellbeing and mental health in children and young people**

When describing the "CAMHS System" we typically focus on specialist targeted services, which can help to address specific emotional or mental health needs, or diagnosable mental health disorders. This is essentially the scope of the redesign project covered in the previous section of this report. The Lancashire Children and Young People's Resilience, Emotional Wellbeing and Mental Health Programme Transformation Plan covers a far broader spectrum of services, including promoting resilience in individuals and communities and in early help.

The County Council has a key role in the commissioning and delivery of services, which contribute to this wider Transformation Programme. A visual representation of key services currently provided by the County Council is set

out in Appendix 'A' and are summarised below under the themes of resilience, workforce, stakeholder and child and family.

### **Resilience**

The County Council provides a range of services which contribute to the wider determinants of health, and consequently help individuals and communities to maintain their health and wellbeing. These include activities such as economic development, transport, infrastructure, cultural services, and support to schools, education and skills.

The priorities of the Transformation Programme include the development and publication of a Lancashire-wide Resilience Framework. As an example, the *Boingboing* framework, currently used in Blackpool, splits ideas under five heads:

- Basics: Including elements such as good enough housing, enough money to live, access and transport, play and leisure.
- Belonging: Including elements such as finding somewhere for the child/young person to belong, healthy relationships, making friends and mixing with others.
- Learning: Including elements such as making school/college life work as well as possible, highlighting achievements and developing life skills.
- Coping: Including elements such as understanding boundaries and keeping within them, solving problems and fostering interests.
- Core self: Including elements such as instilling a sense of hope, helping children and young people to know themselves and to take responsibility for themselves.

Such themes align closely with many of the core services provided by the County Council and, whilst typically not activities which are jointly commissioned or funded within Health partners, play a significant part in ensuring that the 90% of children and young people, who do not have a diagnosable mental health disorder, are supported to remain well, and that those 10% of children and young people who do have a diagnosable mental health disorder, are provided with a universal level of support and services upon, which more specialist interventions can build. As well as our broad offer of services, we have excellent examples of where this happens in a more focussed way, such as the Lancashire Libraries Shelf Help scheme, which provides 13-18 year olds with a set of books, endorsed by young people with first-hand experience of mental health issues.

### **Workforce**

The County Council provides some specific programmes aimed at supporting the children and young people's workforce to be better equipped to offer support to children, young people and their families, by providing a range of lower level, non-clinical interventions, to help them improve emotional wellbeing and mental

health, build resilience and better understand services available and how to access them. Examples include:

- Youth Mental Health First Aid Training
- A Schools Support Offer, which currently helps 33 secondary schools across Lancashire to develop resilience and supports staff members facing specific challenges in working with children and young people
- The Education, Health and Wellbeing Team who work with schools, on a traded basis, to improve the health and wellbeing of children and young people in Lancashire.

This area of activity has the potential for better aligned or joint commissioning with NHS partners, who, for example, also commission Youth Mental Health First Aid Training. We also have an opportunity to build on our existing Education, Health and Wellbeing traded service offer, ensuring that our offer informs and reinforces approaches agreed at a pan-Lancashire level.

### **Stakeholder**

A number of our services, such as the SCAYT+ service (Supporting Carers and Young People Together) and Educational Psychology service, can work either directly with children and young people or provide support to stakeholders, including schools, parents and carers.

Education psychology is a core element of the County Council's Special Educational Needs and Disability (SEND) Service, as part of an integrated team with social workers. We propose to move towards a greater emphasis on joint commissioning with health partners in aspects of this service, speech and language therapies for example, but are mindful that much of this service function forms a key part of our statutory service provision for children and young people. Consequently, SEND services have not been explicitly linked to joint commissioning activities as part of the Emotional Wellbeing and Mental Health Transformation Programme.

SCAYT+ is a team of emotional health workers, social workers and clinical psychologists who provide support relating to children looked after and post adoption. They support carers, parents and professionals by providing advice about parenting, child behaviour and development, serious emotional, behavioural and relationship problems, past abuse, trauma and neglect. Although the primary focus is on consultation with carers and professionals, the team may at times also engage in direct work with children, in conjunction with their parents/carers.

SCAYT+ does include a clinical element, and in other local authorities is sometimes jointly commissioned with CCGs, as part of the wider CAMHS service. Our rationale for commissioning separately is based on a need to retain clear control over key service outcomes, reunification, placement stability and avoiding placement breakdown. Clearly though, the SCAYT+ service has an important role to play as part of the overall system, and we must ensure that

pathways between SCAYT+ and CAMHS services are clear, and that we maximise the potential impact of both services.

### **Child and family**

The County Council provides a number of services, focussed on children and families, which have the potential to either promote good emotional wellbeing and mental health, or to provide lower level interventions as part of an early help approach.

Services such as the Wellbeing, Prevention and Early Help Service, including Health Visiting and School Nursing and Children's Social Care, play a key role in the system as a whole. However, the key element of service focussed primarily on emotional wellbeing is a commissioned Wellbeing, Prevention and Early Help Core Offer for Emotional Health and Wellbeing. The service is delivered by a Voluntary Community and Faith Sector (VCFS) consortium, and provides a range of interventions, including counselling services, for children and young people. The service is expected to provide in excess of 1,000 interventions a year. The County Council has made a significant investment in this service during 2017/18, using a pro rata element of approximately £1.1m of funding, which had previously contributed to specialist CAMHS services commissioned jointly with CCGs.

A recent Lancashire Children's Safeguarding Board audit highlighted a lack of clarity with regards to what alternative provisions were available for cases that were not accepted by CAMHS. The audit found limited information to suggest that agencies knew what the alternatives there were to CAMHS, and whether it was considered an adequate provision. As a key element of the County Council's service offer for children and young people who did not meet CAMHS thresholds, it was critical that the Core Offer was considered in the context of the pan Lancashire Transformation programme, and that we use the opportunities presented by that Programme to develop the service further, and to ensure that the County Council and Partners were clear of the expected outcomes and service pathways.

### **Future investment**

The Transformation Plan developed in 2015 provided details of baseline spend by all partners across Lancashire. This information has been used by the Transformation Board to help to hold Partners to account in terms of their individual investment/disinvestment decisions. Key areas within the County Council's 2017/18 budget, which formed part of the original baseline, are shown in the table below.

| <b>Transformation Theme</b>                | <b>Plan</b> | <b>Lancashire County council Service Area</b> | <b>2017/18 Budget £</b> |
|--|-------------|---|-------------------------|
| Promoting Resilience, Prevention and Early |             | Schools Support Services                      | 50,000                  |
|  |             | Wellbeing, Prevention and Early Help          |                         |

|  |  |           |
|--|--|-----------|
| Intervention. Including Perinatal Mental Health                  | Core Offer   | 1,110,972 |
| Improving Access to Effective support including Eating Disorders | Educational psychology team                                    | 1,939,504 |
| Care for the most Vulnerable including CYP in Crisis             | SCAYT+   | 634,548   |
| Workforce Training   | Suicide Prevention (All Age) and Youth Mental Health First Aid | 65,000    |

One of the key challenges for the County Council in engaging with the Transformation Programme has been to provide certainty in respect to future funding associated with the Core Offer for Emotional Health and Wellbeing. There has been no budget option that has sought to reduce funding for the Core Offer, or take any saving as part of the reinvestment from the specialist CAMHS services. However, the financial position of the County Council and non-statutory nature of the service has resulted in some anxiety amongst Partners. We have not been able to provide the certainty needed to continue to shape the service as an integral part of the overall system, whilst also ensuring that it responds to our challenge of reducing demand for children's social care, and in contributing to the County Council's Troubled Families Unit Targets. Greater certainty over the funding of this non statutory service, with a contract value of £1.150m per annum, would ensure we were better placed to play our part in the delivery of the Transformation Plan, providing greater long term clarity over the County Council's offer to children and young people who do not meet CAMHS thresholds, and continuing improve the resilience, emotional wellbeing and mental health of children and young people. However, it is important to note the County Council's current financial position, with the financial gap in 2017/18 being £57.106m and reserves forecast to be exhausted by early 2019/20, therefore any commitment to funding is difficult and must be caveated as budget reviews take place.

More generally, we will continue to be mindful of the potential impact on the emotional wellbeing and mental health of children and young people, when making and investment or disinvestment decisions across the County Council.

### **Consultations**

Partners including CCGs, Providers and Voluntary Community and Faith Sector Representatives within The Pan Lancashire Children and Young People's Transformation Board have stated that the importance of this investment "cannot be understated", and have sought assurances that funding will be maintained, and that the commissioning and development of these services is aligned to delivery of the wider system

## **Implications:**

This item has the following implications, as indicated:

### **Risk management**

Not following the proposals contained within the report will mean that the County council will face significant difficulty in contributing to the Transformation Programme and place at risk the current service redesign.

### **Financial**

Provision of £1,110,972 currently exists within the existing County council revenue budget, which has previously been used to fund specialist CAMHS Services. It is proposed that this funding is maintained to continue provision of support for children and families experiencing emotional wellbeing and mental health issues subject to any further budget reviews and potential reductions that may take place as a result of the financial pressures that the County Council is facing.

The contract value for the Wellbeing Prevention and Early Help Core Offer is £1,150,000. This will create a budget pressure of £39,028 (which has previously been managed within the Wellbeing, Prevention and Early Help budget) from 2018/19 onwards which would be managed by a transfer of funds from the existing Public Health initiatives budget.

### **Equality**

The proposal will ensure continued service provision to vulnerable children, young people and their families who may be experiencing emotional wellbeing and mental health issues for which a clinical intervention is not appropriate.



## List of Background Papers

| Paper   | Date            | Contact/Tel   |
|---|-----------------|---|
| <u>CAMHS Redesign Update to Lancashire Health and Wellbeing Board</u><br><a href="http://council.lancashire.gov.uk/ieListDocuments.aspx?CId=825&amp;MId=6647&amp;Ver=4">http://council.lancashire.gov.uk/ieListDocuments.aspx?CId=825&amp;MId=6647&amp;Ver=4</a>  | 20 June 2017    | Dave Carr, Head of Service: Policy, Information and Commissioning (Start Well) 01772 532066 |
| Lancashire CYP Emotional Wellbeing and Mental Health Transformation Programme<br>Quarterly Update Presented to the Lancashire Health and Wellbeing Board<br><a href="http://council.lancashire.gov.uk/ieListDocuments.aspx?CId=825&amp;MId=5299&amp;Ver=4">http://council.lancashire.gov.uk/ieListDocuments.aspx?CId=825&amp;MId=5299&amp;Ver=4</a>             | 24 October 2016 | Dave Carr, Head of Service: Policy, Information and Commissioning (Start Well) 01772 532066 |
| Lancashire Children and Young People Resilience, Emotional Wellbeing and Mental Health Transformation Plan<br>Presented to the Lancashire Health and Wellbeing Board<br><a href="http://council.lancashire.gov.uk/ieListDocuments.aspx?CId=825&amp;MId=3971&amp;Ver=4">http://council.lancashire.gov.uk/ieListDocuments.aspx?CId=825&amp;MId=3971&amp;Ver=4</a> | 29 October 2015 | Dave Carr, Head of Service: Policy, Information and Commissioning (Start Well) 01772 532066 |

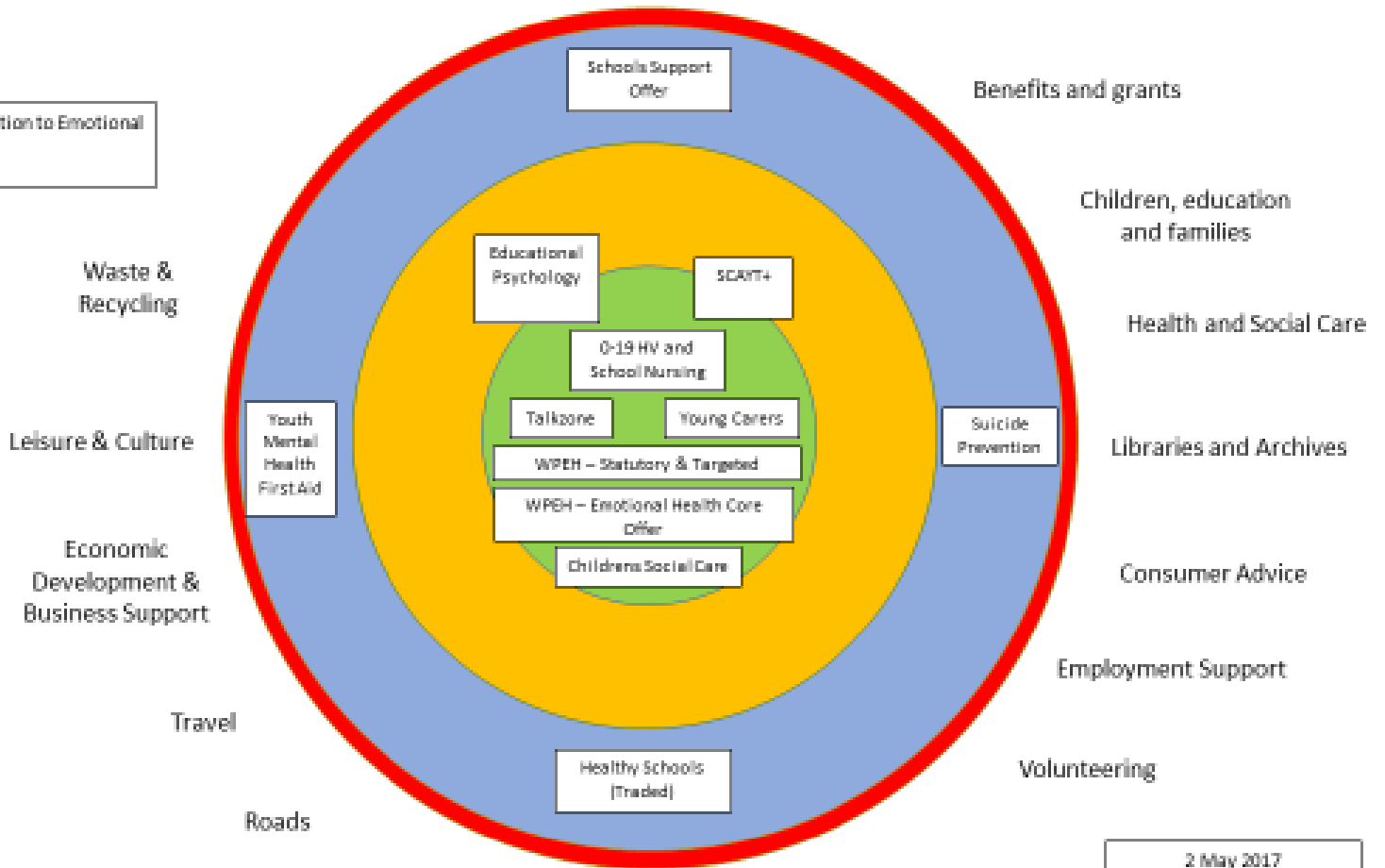
Reason for inclusion in Part II, if appropriate

N/A



Lancashire County Council – Contribution to Emotional Wellbeing and Mental Health

- CHILD AND FAMILY
- STAKEHOLDER
- WORKFORCE
- RESILIENCE





**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of Asset Management****Part I**

Electoral Division affected:  
Ribble Valley North East; Ribble  
Valley South West;

**Proposed expansion of Barrow Primary School, Clitheroe**

(Appendices 'A' to 'E' refer)

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

Contact for further information:

Steph Rhodes, (01772) 531957, School Planning Principal

[steph.rhodes@lancashire.gov.uk](mailto:steph.rhodes@lancashire.gov.uk)

**Executive Summary**

Between 8 May 2017 and 11 June 2017, the County Council consulted on a proposal to permanently expand Barrow Primary School in the Langho and Whalley school planning area, with effect from September 2019. Under the statutory process, the County Council is now required to consider the responses to the consultation, and to decide whether to proceed to the next stage and publish Statutory Notices of the proposal. The purpose of this report is to provide the information necessary for that decision to be considered.

**Recommendation**

The Cabinet is recommended to:

- (i) note the consultation arrangements which were undertaken and the responses that were received in respect of the authority's proposal.
- (ii) agree to the County Council publishing a Statutory Notice of its proposal to expand Barrow Primary School, Clitheroe, by increasing the number of reception pupils admitted to the school from 20 to 30 from September 2019.

**Background and Advice**

As a result of the effect of significant housing developments, intake into primary schools in the area is expected to increase over the foreseeable future. Barrow Primary School is a popular school and has achieved an 'Outstanding' Ofsted rating. On 8 March 2017, the former Cabinet Member for Children, Young People and Schools approved the consultation on a proposal to permanently increase the

published admission number for Barrow Primary School from 20 places to 30 places, standardising admission numbers from Reception age, with effect from September 2019. This is part of Phase 2 of a programme of capital expansion projects in maintained schools, to provide additional places to regularise admission numbers in areas of growth. If the permanent expansion is approved, the capacity of the primary school would increase from 140 to 210, with additional permanent accommodation being provided on the existing site. This will be enabled by expansion of the existing building; subject to planning consent being granted. A consultation on the expansion proposal took place between 8 May and 11 June 2017.

### Process for permanent expansion

As the County Council wishes to propose a substantial increase of the school's capacity for 2019 and beyond, it is categorised as a 'significant enlargement' under the School Organisation (Prescribed Alterations to Maintained Schools) (England) Regulations 2013 and, therefore, relevant statutory procedures must be followed. Details of the planned timescale to include these statutory procedures are as follows:

| Action   | Timescale  |
|--|--|
| Consultation on the proposals to enlarge Barrow Primary School (non- statutory stage)                          | 8 May 2017 to 11 June 2017<br>(5 weeks)  |
| Report to the Cabinet on the responses to the consultation and seeking permission to publish statutory notices | Current stage  |
| Publish Statutory Notices  | December 2017  |
| Representation Period  | 5 weeks ending in January 2018   |
| Decision by the Cabinet  | March 2018 (The decision must be made within 2 months of the end of the representation period) |
| Implementation   | September 2019   |

### Consultations

The following are the statutory requirements around consultation as set out within Department for Education (DfE) guidance, 'Making Prescribed Alterations to Maintained Schools' (April 2016) and evidence of the authority's compliance with each requirement;

*'Although there is no longer a statutory 'pre-publication' consultation period for prescribed alteration changes, there is a strong expectation that schools and LA's will consult interested parties. In developing their proposal prior to publication, as part of their duty under public law to act rationally and take into account all relevant considerations.'*

A 'pre-publication' consultation period was held for a five week period during term time from 8 May 2017 to 11 June 2017. The consultation document (Appendix 'A') provided full details of the proposal. A list of all those that have been consulted appears in the consultation booklet (Appendix 'A' page 8). Appendix 'A' Pages 5 & 9 of the consultation document provided information on how to make views known. An analysis of these views can be found at Appendix 'B'. A consultation event was held at the school on 17 May 2017 for parents, staff, governors and other interested parties. An

analysis of views expressed appears in Appendix 'C'. In addition, pupils' views were invited through a children's consultation carried out by the school (Appendix 'D'.)

## **Conclusion**

The consultation process highlighted a small range of concerns around the impact of the expansion of Barrow Primary School, mainly around potential traffic and parking issues. These issues will be considered as part of the subsequent planning consultation, if the Cabinet makes the final decision to proceed to expand the school. Having considered the responses received as part of the consultation, it is recommended that a Statutory Notice is published to propose that Barrow Primary School is expanded by increasing the number of reception pupils from 20 to 30, with effect from September 2019, by increasing the capacity of the building to 210.

## **Implications:**

This item has the following implications, as indicated:

### **Risk management**

If additional primary school places are not created, there is a risk that the Authority would fail in its statutory responsibility to make sure that a maintained school place is available to all Lancashire children of the appropriate age range who want one.

Providing additional places increases the overall capacity in the area and, if birth rates fall or planned housing development fails to materialise in the future, there may be surplus places, with the possibility that the impact may be felt greatest by one or a small number of neighbouring schools.

If the County Council delays its statutory consultation or decision making in respect of the provision of primary school places in the Langho and Whalley school planning area, there is a real risk that increased demand will lead to emergency action rather than planned additional places. Emergency action can be disruptive for both the affected school and the families involved in the primary allocation of places, and can impact negatively on the schools' capital programme.

The expansion of the school building would be subject to planning permission being granted. A feasibility study was commissioned to ascertain whether there was a possibility to expand the school to 1 Form Entry, due to the limited site area available for expansion and problems with recent flooding of the buildings. This study concluded that it was possible to expand. However, more detailed plans are now being developed in tandem with the statutory process, and it has become evident that permission will be required from the North West Province of the United Reformed Church Trust to alter any part of the building owned by them. In addition, it would appear that there is no formal lease agreement for the school to use parts of the building owned by the Trust, and that the current heating system to the school is fed from a boiler located beneath the adjoined Chapel building. Legal services have advised that no work should commence to alter any part of the building owned by the Trust until approval has been granted in writing. Estates/Legal services will look to enter into negotiations with the Trust body as a matter of urgency to resolve this issue, but it should be noted that no timescale has been given for this to be concluded.

If these agreements are not resolved, there is a risk of delay to the County Council being able to satisfy its statutory obligations to provide additional school places.

### **Land and Property**

The expansion of Barrow Primary School could be accommodated on the existing school site, subject to the issues highlighted above being resolved. The approval of any physical school expansion will be subject to obtaining relevant planning permission and Section 77(3) consent for the change of use in the land (or meeting the terms of The School Playing Fields General Disposal and Change of Use Consent (No 5) 2014).

### **Legal and Financial Implications**

The legal and financial implications are set out at Appendix 'E' which is exempt from publication.

### **List of Background Papers**

| Paper   | Date                  | Contact/Tel                                 |
|---|-----------------------|---|
| Consultation responses for the expansion proposals of Barrow Primary School | 8 May to 11 June 2017 | Asset Management, 01772 531957              |
| Proposed expansion of Barrow Primary School, Clitheroe                      | 8th March 2017        | Sarah Welch, Asset Management, 01772 536748 |

Reason for inclusion in Part II, if appropriate

Appendix 'E' contains exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972. This section of the report contains information relating to the financial or business affairs of any particular person (including the authority holding that information). 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.



# Appendix A

## Consultation on the Expansion of Barrow Primary School, Old Row, Barrow, Clitheroe, Lancashire, BB7 9AZ.



May-June 2017

A consultation event in connection with this proposal will be held on Wednesday 17<sup>th</sup> May 2017 at the school. Further information is provided inside.

Produced by the School Planning Team, Asset Management, Lancashire County Council

## Foreword

Lancashire is a large, diverse area served by some superb schools and we are committed to improving this excellence by continuing to raise standards and opportunities, for all our children and young people.

Lancashire County Council has a statutory duty to provide primary and secondary school places to every child of school age living in Lancashire who requests one. In achieving this, Lancashire, like many other authorities, faces many challenges. Changing demographic factors mean that we must constantly review the number and location of the school places we provide.

The county council and its schools work together with parents and a range of service providers to help our children to be safe, to enjoy and achieve, to be listened to, to belong to the community, and to achieve economic well-being.

We want all our children and their parents to have pride in their local school and cultivate an appetite for lifelong learning.

We aim to provide schools that meet the needs of our communities and, at times, this may involve increasing the number of school places in a particular school.

I hope that you will take a little time during this consultation period to let us know your views on what we are proposing to do. We will not make a decision until we have carefully considered all responses to this consultation.

Please help us to improve educational provision for Lancashire children.



**Mike Kirby**

**Director of Corporate Commissioning**

## **Our vision and what we would like to achieve**

Education is a powerful means of transforming and enriching lives and communities. Future success and well-being depends on strong creative partnerships, new ways of working, high expectations and a belief that we all have a part to play and can make a difference together.

Lancashire County Council is committed to improving the quality of educational provision to help raise standards for all learners. Our Vision sees schools operating at the centre of their immediate and often extended communities.

## **What are we proposing to do?**

This consultation document is about the proposed permanent expansion of Barrow Primary School, Old Row, Barrow, Clitheroe, Lancashire, BB7 9AZ.

On 8<sup>th</sup> March 2017, the Cabinet Member for Children, Young People and Schools approved a period of consultation to be undertaken on a proposal to allow a permanent increase in the Reception intake of Barrow Primary School from 20 to 30 places for September 2019 and beyond. This will be enabled by expansion of the existing building.

## **Why are we proposing this?**

On 5 November 2015, the Cabinet Member for Children, Young People and Schools approved a capital improvement programme that provided additional places to regularise admission numbers in areas of growth.

The Langho and Whalley planning area was identified as an area where: a) each of the four primary schools had admission numbers that were difficult to manage; and b) the significant level of development planned in the area within the next five years would mean that there will be a shortage of primary school places.

The pupil projections have been monitored and, as a result, an initial shortfall in school places is anticipated to occur from September 2018.

At a meeting on 7 December 2016, it was agreed that proposals be put forward to request that a period of statutory consultation commence in connection with the expansion of Barrow Primary School, Clitheroe in order to increase the number of pupils admitted to Reception Year from 20 to 30, with effect from September 2019 and for each subsequent year. This proposal is linked to the expansions of St Leonards, Whalley CE and St Mary's that will take place in 2018 and 2019.

# Expansion of Schools and the School Organisation and Governance Regulations

The provisions of the School Organisation (Prescribed Alterations to Maintained Schools) (England) Regulations 2013, state that if a local authority proposes to enlarge the premises of a school by which the capacity of the school would increase by more than 30 pupils and by 25% or 200 pupils more (whichever is the lesser), their proposal must be published in a statutory notice.

## Informal Consultation

The issue of this document marks a period of consultation during which the views of any interested parties are sought and which will be considered before any move to the more formal stages of the process.

There are then 4 stages to the statutory process which must be followed:

## Stage One - Publication

Dependent upon the outcome of the consultation, a decision to proceed to issue a statutory notice must be made by the Cabinet Member for Children, Young People and Schools.

## Stage Two - Representation

Statutory notices for school enlargements allow a 4 week period for anyone to submit their comments on the proposals. This enables people to express their views in the form of supporting or objecting to the proposals.

## Stage Three - Decision

Within 2 months after the statutory notice period ends, the authority must make a decision on the proposal.

## Stage Four - Implementation

If the proposal is approved Barrow Primary School would increase the number of pupils admitted into Reception year by an additional 10 pupils. This would mean that the number of reception places in September 2019 and for each following year will increase from 20 to 30, resulting in the school's capacity increasing from 140 to 210.

# The consultation and decision making process

## Timescales

|  |   |
|--|---|
| 8 <sup>th</sup> May to 9 <sup>th</sup> June 2017 | Informal Consultation   |
| August/September 2017                            | Cabinet Member decision making session to consider the results of the consultation and decide whether to publish a Statutory Notice on the proposal |
| September 2017                                   | Stage One - Publication of Statutory Notice   |
| September/October 2017                           | Stage Two - Representation  |
| December 2017                                    | Stage Three - Final decision by Cabinet Member  |
| September 2019                                   | Stage Four - Implementation (if approved)   |

## Consultation Event

You are invited to express your views on the proposal at an event organised at the school on **Wednesday 17<sup>th</sup> May 2017 from 3.00pm to 8.00pm.**

Please note that this will be an appointment led event, requiring interested parties to make a booking prior to the event. This will allow us to manage the process effectively, minimise waiting times and ensure that appropriate officers are available to offer advice and guidance relating to specific matters of interest.

Appointments can be made by visiting the link below and following the on-screen instructions:

<https://lccsecure.lancashire.gov.uk/corporate/questionnaires/runQuestionnaire.asp?qid=708549>

Alternatively, booking can be made by telephone or email by contacting the School Planning Team on 01772 536289 or Email:

[schoolplanning@lancashire.gov.uk](mailto:schoolplanning@lancashire.gov.uk).

**The closing date for booking an appointment is Monday 15<sup>th</sup> May 2017 at 5pm. Individual appointment times will be confirmed as soon as possible following this date. If there are only a few or no appointments made then the event will be shortened or may be cancelled.**



# Barrow Primary School, Old Row, Barrow.



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## Who we will consult

**This consultation document will be provided to people and organisations that may have an interest in these proposals. These include the following:**

- Staff, parents/carers, governors and pupils of Barrow Primary School (The views of the children and young people within the school will be sought through the school)
- Head teachers, Governing Bodies and staff of other local schools
- Local Voluntary and Private Nursery providers
- Lancashire Parent Carer Forum
- Chief Executive and elected members of Ribble Valley Borough Council
- Other Local Authorities bordering Lancashire
- Local Church Authorities and Faith Groups
- Members of the Education Scrutiny Committee
- The Children's Partnership Board for the area
- Lancashire County Councillors –Ribble Valley
- Local Members of Parliament – Ribble Valley
- Ribble Valley Parish & Town Councils
- Trade Unions and Associations
- Lancashire Association of School Governing Bodies
- Ofsted: Her Majesty's Inspector for the area
- The wider Ribble Valley community – through local Community Centres, Clitheroe Town Hall, Clitheroe library and County Hall.

This document and the Cabinet Report are available on our website via the link below under the heading 'School Organisation Reviews':

[www.lancashire.gov.uk/schools](http://www.lancashire.gov.uk/schools).

We can also provide electronic copies of the consultation document to members of the local community on request.

## Your Response – Contact us

We welcome your views on this proposal. All observations and objections will be considered very carefully before any decision is made to progress any further with this proposal. It is important that you make any written responses within the consultation timescales published in this document and that they are sent to the School Planning Team using the methods outlined below. Any responses received outside of the consultation period will not be able to be included for consideration when a decision is being made as to whether to proceed with the proposal.

Please note that in accordance with the Department for Communities and Local Government Regulations, all written responses may be a matter for public disclosure and may be published on the website of Lancashire County Council as background papers to the report to the Cabinet Member.

The consultation runs until **9th June 2017** and you can respond by completing the questionnaire in this document or writing separately:

Post to: School Planning Team, Asset Management,  
FREEPOST RTKE-BXCZ-BBZL, Lancashire County Council, PO Box 100,  
County Hall, Preston, PR1 0LD (*no stamp required*)

Email to: [schoolplanning@lancashire.gov.uk](mailto:schoolplanning@lancashire.gov.uk)

On-Line at: (Use the link below to complete the questionnaire contained in this document on-line)

<https://lccsecure.lancashire.gov.uk/corporate/questionnaires/runQuestionnaire.asp?qid=708620>

This document can also be accessed via the link below under the heading 'School Organisation Reviews': [www.lancashire.gov.uk/schools](http://www.lancashire.gov.uk/schools) .

If you have difficulty in accessing this information, please contact the School Planning Team: Telephone **01772 536289**

**Please submit only one response per person to this consultation**

**Thank you**



This booklet forms part of the informal consultation prior to the statutory process required in order to significantly enlarge a school. The information provided in this booklet and at the consultation sessions is intended to be sufficient in order for people to form a view on the proposal. The council will consider views and concerns arising from the consultation process to contribute to the detailed proposal supplied later in the process.

We are sorry that, due to the volume of responses we receive when consulting on proposals for schools, we will not be able to acknowledge written responses nor enter into correspondence with interested parties during or after the consultation period. It is important to attend the relevant consultation event if you require clarification or more information on the proposal.

Further information regarding this proposal, including the cabinet report, is available on our website, under the heading 'School Organisation Reviews' at: [www.lancashire.gov.uk/schools](http://www.lancashire.gov.uk/schools)

**Thank you**

## **Parental representations about school provision**

Lancashire County Council is committed to working with the people of Lancashire to plan and ensure the delivery of local services.

The council is responsible for ensuring the supply of sufficient and suitable school places and promoting high standards. The council aims to educate pupils in accordance with their parents' wishes, subject to providing an appropriate education and avoiding unreasonable expenditure.

The county council has a duty to seek and consider the views of parents and carers about the pattern of school provision. If you would like to give your views about future school provision in Lancashire, you can get information on how to do this from the School Planning Team, Asset Management, FREEPOST RTKE-BXCZ-BBZL, Lancashire County Council, PO Box 100, County Hall, Preston, PR1 0LD (*no stamp required*).

# QUESTIONNAIRE

Who should complete this questionnaire?

- Staff, governors, current or prospective parents/carers of pupils at Barrow Primary School
- Any other interested member of the community

**NB: Please complete just one form per person**

**Proposal: To expand Barrow Primary School to increase the number of pupils admitted in each reception year from 20 to 30, with effect from September 2019, by increasing the capacity of the school from 140 to 210.**

**Q1**

**How strongly do you agree or disagree with the proposal?**

*Please select one option only*

Strongly  
agree

Tend to  
agree

Neither  
agree or  
disagree

Tend to  
disagree

Strongly  
disagree

*If you would like to provide details of why you agree or disagree with this proposal you can do so overleaf.*

**Q2**

**Are you responding to this proposal as...?**

*Please select as many as apply*

|   | This School              | Other School*            |
|---|--------------------------|--------------------------|
| A parent/carer of a pupil currently at: | <input type="checkbox"/> | <input type="checkbox"/> |
| A parent/carer of a future pupil at:    | <input type="checkbox"/> | <input type="checkbox"/> |
| A member of staff at:                   | <input type="checkbox"/> | <input type="checkbox"/> |
| A school governor at:                   | <input type="checkbox"/> | <input type="checkbox"/> |
| A political representative for:         | <input type="checkbox"/> |                          |
| Member of the local community:          | <input type="checkbox"/> |                          |

Other (please specify)

If other school\*, please specify

### Q3 What is your home postcode and area in which you live?

*Please write in below:*

### Q4 What are your reasons for agreeing or disagreeing with the proposal?

*Please write in the box below; Please attached additional papers if required*

Please print your name:

**Thank you for completing this questionnaire. Please return it to:**

School Planning Team, Asset Management,  
FREEPOST RTKE-BXCZ-BBZL, Lancashire County Council, PO Box 100,  
County Hall, Preston, PR1 0LD (*no stamp required*).

### Important Information

Lancashire County Council may be required to publish consultation responses as part of the reports for consideration by the relevant Cabinet Member(s) either as appendices to those reports or as part of the background papers referred to in those reports and available on request. Please be aware that your responses to this consultation may be made available on the County Council's website as part of this process



## Analysis of Consultation responses

### Consultation

The consultation document asked whether people supported the expansion of Barrow Primary School, to increase the number of pupils admitted to Reception year at the school from 20 to 30 with effect from September 2019.

All responses received, together with the notes of the public consultation event, have been made available via the councillor's information portal, Councillor First.

A total of 28 responses were received:

- 21 via completion (either manually or on-line) of the questionnaire provided; and
- 7 individual emails – 3 from parent/guardians of pupils currently at the school, 1 from a parent/guardian of a future pupil at the school, 1 from a member of staff from the school and 2 from an interested member of the local community.

Of the 28 responses, the following information was obtained with regard to the view as to whether or not there was support for the proposal to expand the school:-

| Strongly Agree | Agree | Neither Agree nor Disagree | Disagree | Strongly Disagree | Totals |
|----------------|-------|----------------------------|----------|-------------------|--------|
| 9              | 4     | 1                          | 2        | 12                | 28     |

Of the 28 respondents, 28 (100%) gave a reason for their response.

The responses came from the following categories of people with an interest in the school:

17 (61%) from parent/guardian of pupils currently attending Barrow Primary School;  
3 (11%) from parent/guardian of a future pupil at Barrow Primary School;  
3 (11%) from members of staff at Barrow Primary School;  
2 (7%) from school governors at Barrow Primary School; and  
3 (11%) from interested members of the local community.

From the responses, the following comments were received:-

### Support

Of the 13 respondents (46%) that agreed or strongly agreed with the proposal to expand Barrow Primary School, the following points were raised:

- 1 of the respondents felt that the class sizes are too big;
- 2 of the respondents felt that there will be no more split class sizes;
- 10 of the respondents felt that due to housing developments more school places are needed;
- 1 of the respondents felt that the school has a good reputation and headteacher;

- 1 of the respondents has concerns of places not available for local children in 2018;
- 1 of the respondents felt that an expansion would improve facilities at the school;
- 1 of the respondents felt that this should be managed proactively to avoid crisis management when children are allocated places on appeal;
- 2 of the respondents felt that expansion would reduce the play area/outside space;
- 1 of the respondents felt that the site is not big enough to accommodate new classrooms;
- 1 of the respondents felt that the playing field is muddy and not useable;
- 1 of the respondents felt that the playground has previously been reduced due to expansion of the staff car park;
- 2 of the respondents felt that there are no parking facilities including drop off and pick up;
- 1 of the respondents stated that there are safety issues crossing the road to get to school;
- 1 of the respondents felt that there is a need for road safety measures, speed bumps, speed camera; and
- 1 of the respondents expressed concern that the building work will cause disruption and noise.

## **Opposition**

From the 14 responses (50%) that strongly disagreed and disagree with the proposal to expand Barrow Primary School, the following reasons were provided:

- 1 of the respondents felt that due to housing developments more school places are needed
- 3 respondents felt that the school hall and facilities are too small;
- 2 of the respondents felt that the class sizes are too big;
- 2 of the respondents felt that it was a poor consultation booklet with no FAQ or proposal plan;
- 6 of the respondents felt that expansion would reduce the play area/outside space;
- 1 of the respondents felt that the site is not big enough to accommodate new classrooms;
- 2 of the respondents felt that the playing field is muddy and not useable;
- 2 of the respondents felt that flooding is a problem;
- 2 of the respondents felt that the playground has previously been reduced due to expansion of the staff car park;
- 8 respondents felt traffic is an issue at school time;
- 10 of the respondents felt that there are no parking facilities including drop off and pick up;
- 4 of the respondents stated that there are safety issues crossing the road to get to school;
- 4 respondents felt that a new school should be built;
- 1 respondent felt that Whalley Primary School should be expanded;

- 2 of the respondents expressed concern that the building work will cause disruption and noise;
- 1 of the respondents felt there will be a drop in pupil performance and increase in staff sickness due to larger numbers and stress; and
- 1 respondent felt the after school club provision should be increased.

## Response

How stage 1 consultation is carried out is not prescribed in regulations and it is for the proposer (in this case Lancashire County Council) to determine the nature of the consultation and its length. There is no prescription around the level of information provided at stage 1 consultation. Stage 1 consultation is intended to provide parents and the local community with information as to the local authority's proposal, including the reasons for it, and to provide an opportunity for individuals and groups to respond to the proposal. This process is designed to reveal the issues that are of concern to the community and to inform the decision making process as to whether to proceed with the proposal.

An initial assessment indicates that the site would be able to support the expansion. A feasibility study has been carried out for this proposal to address the site constraints and drainage issues. Should the proposal for enlargement be approved, following the necessary period of statutory consultation, this expansion could comprise of an additional two class bases, cloaks/WC accommodation in order to maintain the necessary WC to pupil ratios, 160m<sup>2</sup> Hall, and 45m<sup>2</sup> Kitchen. Provision to extend the school's IT infrastructure to the new class bases and new fixed and loose furniture would be provided to the new spaces.

Replacement of lost 'hard playground' and 'playing field' space as a consequence of the proposed extension would be provided by the incorporation of an all-weather Multi-Use Games Area which would be included as the proposed expansion reduces the area of 'playing field' as defined by s77 of the School Standards and Framework Act 1998 to allow for continuity of provision.

The school acknowledges that any proposed increase in pupil numbers is likely to result in increasing traffic and demand for parking, however, they are confident that any issues can be managed. There will be no reduction in the number of staff parking spaces as a consequence of the proposed expansion, and there is currently no drop off/pick up points. There is currently plenty of parking available along the roadside in the vicinity of the school at peak times of day. Parking and traffic issues will be further considered as part of the traffic risk assessment which will be undertaken as part of the application to obtain planning permission required for the permanent new build, if the proposal goes ahead. Pre application advice will be sought from the Highways Development Team specific to this proposal.

With regards to safety issues around pupils crossing the road to get to school, the main road to the front of school is covered by the crossing patrol who is on duty before and after school. There is also a car park available for community use, with a footpath to the school entrance gate. There are no roads to cross when using the footpath from the community car park.

The headteacher and governors are committed to ensuring that the proposed increase in the number of pupils would not make the school feel 'too large' for pupils. The number of individual classes would increase as a result of the proposed expansion to increase the number of pupils admitted to Reception Year from 20 to 30, with effect from September 2019 and for each subsequent year.

The authority has proposed the expansion of an existing school rather than establish a new school, in accordance with both the published School Place Provision Strategy and the Capital Strategy for Schools which state Lancashire County Council will seek to provide additional places, when needed, at existing schools that provide outstanding or good standards of education, as judged by Ofsted, wherever possible.

On 5 November 2015, the Cabinet Member for Children, Young People and Schools approved a capital improvement programme that provided additional places to regularise admission numbers in areas of growth. At the time, the Langho and Whalley planning area was identified as an area where:

- a) each of the four primary schools had admission numbers that were difficult to manage; and
- b) the significant level of housing development planned in the area within the next five years would mean that there will be a shortage of primary school places.

Officers met with the relevant Headteachers, Chairs of Governors, and Diocesan representatives to discuss the possibility of providing additional places at the schools.

As a result, at a meeting on 7 December 2016, it was agreed that proposals be put forward as follows:

- To increase the number of pupils admitted to Reception Year at Langho and Billington St Leonard's Church of England (CE) Primary School from 40 to 45, with effect from September 2018 and for each subsequent year;
- To increase the number of pupils admitted to Reception Year at Whalley CE Primary School from 40 to 45, with effect from September 2019 and for each subsequent year;
- To increase the number of pupils admitted to Reception Year at Langho St Mary's Roman Catholic (RC) Primary School from 40 to 45, with effect from September 2019 and for each subsequent year;
- To request that a period of statutory consultation commence in connection with the expansion of Barrow Primary School, Clitheroe in order to increase the number of pupils admitted to Reception Year from 20 to 30, with effect from September 2019 and for each subsequent year.

Given that the proposed expansion would be gradual then the noise level would be expected to increase gradually also. All building work, however, causes some disruption and noise but this will, as far as is reasonably practical to do so, be kept to a minimum and full liaison with the school to avoid any important school dates/events will occur.

The headteacher and governors are committed to ensuring that the high standards achieved by the school are maintained should the proposed expansion be approved.



Class size will be smaller, and from expansions at other schools, it has been commented that behaviour has improved and the children are calmer as a result of the expansion.

The school intends to continue to operate the after school club should the proposed expansion be approved, which runs from 3.30pm to 6.00pm every evening. The provision is staffed in accordance with statutory ratios and therefore, according to demand.

### **Neither in support nor in opposition**

1 respondent (4%) neither agreed nor disagreed with the proposal. The following points were raised:

- felt that there are no parking facilities including drop off and pick up;
- felt that the school hall and facilities are too small;
- expressed concern that the building work will cause disruption and noise;
- stated that there are safety issues crossing the road to get to school;
- could impact achievement and character of the school; and
- the path from the car park should be re-covered due to flooding.

### Response

The first four comments were raised as objections and have been addressed above.

Should the proposed expansion be approved, the head teacher and governors are committed to maintaining the strong ethos of the school, which together with the school's leadership and staff has enabled the school to be rated as 'Outstanding' by Ofsted.

A feasibility study has been carried out for this proposal to address the site constraints and drainage issues.



## **Notes from the consultation event regarding the proposed expansion of Barrow Primary School - 17<sup>th</sup> May 2017, held at the school**

As part of the period of consultation which ran from 8 May and 11 June 2017, an appointment led consultation event was held at the school on 17 May 2017. In total, 2 individuals attended the event.

Event attended by Headteacher, Pupil Access Team, School Advisor and members of the School Planning Team.

Individuals attending the consultation event were in support of the proposal but expressed the following issues of concern below:

### **Members of the United Reform Diocese**

Consultees are supportive, but had queries over ownership. They provided a letter they had sent to LCC in 2015. The contents were discussed.

Other issues raised relate to VC status, school signage and other historic issues not related to the consultation.

Potential for greater traffic calming measures were discussed.

In principle the consultees are agreeable to move forward with the expansion.

### **Parent of current pupil at the school**

There were concerns over the remaining outside space, playing field (including drainage issues) and traffic.

Query over who is consulted – concerned that at this stage the residents of the road in front of the school are not directly targeted.

They felt that without plans it is difficult to see anything or comment.

### **Response:**

If the proposal is approved:

- ownership details will be explored;
- the school advisor will take forward issues relating to VC status and historic issues;
- parking and traffic issues would be considered as part of a traffic risk assessment which would be conducted as part of the application to obtain planning permission required for the permanent new build;
- replacement of lost 'hard playground' and 'playing field' space as a consequence of the extension would be provided by the incorporation of a Multi-Use Games Area which would be included if it is found that the proposed expansion reduces the area of 'playing field' as defined by s77 of

the School Standards and Framework Act 1998 to allow for continuity of provision; and

- How stage 1 consultation is carried out is not prescribed in regulations and it is for the proposer (in this case Lancashire County Council) to determine the nature of the consultation and its length. There is no prescription around the level of information provided at stage 1 consultation. Stage 1 consultation is intended to provide parents and the local community with information as to the local authority's proposal, including the reasons for it, and to provide an opportunity for individuals and groups to respond to the proposal. This process is designed to reveal the issues that are of concern to the community and to inform the decision making process as to whether to proceed with the proposal. It is only if the proposals reach stage 3 (the publication of statutory notices and the representation period) that the proposals need to contain the information highlighted by responses.

## Summary of Children's Consultation for Barrow Primary School

During the consultation period the school consulted Year Groups 2, 3, 4 and 5 on their views towards the proposed expansion of Barrow Primary School.

Year group/s consulted: 2, 3, 4, 5 (split groups)

### **Method of consultation:**

**Year 2** – Points given and Tally Chart for and against the school getting bigger also positives and negatives

**Year 3** – Children where asked "how they think it will affect you if your school gets bigger?"

**Year 4** – Children where asked "how they think it will affect you if your school gets bigger?"

**Class 5** – Tally chart for and against the school getting bigger also positives and negatives

### In support of the proposal

#### **Year 2:** 25 Positive

We will have more friends to choose from;  
Most of us would like to be in the same age classes;  
We think it will be easier for teachers to teach.

#### **Year 3**

Would like to have each year group together;  
would be possible to have more friends – more children;  
Might have a bigger hall, better for P.E.

#### **Year 4**

Might get better equipment on playground;  
More attention in class due to their being 1 year group in a class;  
Better education as the focus would be on the year group;  
More friends to have fun with;  
More room to play, Bigger hall etc;  
Stay in own classrooms for test etc due to each year group having its own classroom;  
More teachers, more people to go to if problem/worried about anything.

#### **Year 5:** 13 Positive

It will be more successful;  
More children more sports teams;  
Better Facilities.

Against the proposal

**Year 2: 11 Negative**

There will be more children but less area outside in which to play;  
Some children like having younger pupils in the class;  
The car park will have to be bigger and take up more play space;  
The school might be too crowded.

**Year 3**

Less Grass space/playground space for playing;  
Benches and picnic tables may have to go as not enough space.

**Year 4**

Not as much space to park for children being brought to school.

**Year 5: 11 Negative**

The noise will disturb;  
New staff might not be as experienced and standards may drop;  
There will be a bigger variety of people and they may be naughty;  
The school is getting bigger the village may be bigger;  
Traffic and it will be less safety;  
Other things may suffer because buildings are being built;  
Fields and Wildlife will be lost because of building;  
More pollution;  
Concerns about less school trips and other activities.

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





**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of Service - Wellbeing, Prevention and Early Help Service****Part I**Electoral Divisions affected:  
All**Awarding of Small Grants to Third Sector Groups which are Registered with the Wellbeing, Prevention and Early Help Service, including Grants to Individual Young People**

(Appendix 'A' refers)

Contact for further information:

Helen Green, (01772) 530974, Quality and Review Officer

[helen.green@lancashire.gov.uk](mailto:helen.green@lancashire.gov.uk)**Executive Summary**

This report outlines the work of the District Youth Councils in their role in recommending grant monies to third sector organisations which are registered with the Wellbeing, Prevention and Early Help Service.

**Recommendation**

The Cabinet is recommended to consider and approve:

- (i) The recommendations of the District Youth Councils on the applications for grants from third sector groups which are registered with the Wellbeing, Prevention and Early Help Service, as set out in Appendix 'A'.
- (ii) The recommendations of the District Youth Council on the grant application from one young person totalling £411, which exceeds the £250 threshold that the District Youth Council is authorised to approve.

**Background and Advice**

In Lancashire, there is already a process for third sector groups which are registered with the Wellbeing, Prevention and Early Help Service, to apply for small grants for the development of the organisation and for the young people within those organisations who may need help to fund a specific project, i.e. funding for a trip or group activity.

Individual young people can also apply for funding, if they are in need of financial support, which will aid their development and learning, i.e. attendance on an educational course and equipment needed. If these grants are £250 or less, the District Youth Council has the authority to approve these. Should any applications be received from individual young people which are for more than £250, then the Cabinet would be asked to consider these.

## **Consultations**

Both sets of grants can be made under Section 2 of the Local Government Act 2000, which states that 'Every local authority is to have the power to do anything which they consider is likely to achieve any one or more of the following objectives:

- The promotion or improvement of the economic well-being of their area
- The promotion or improvement of the social well-being of their area, and
- The promotion or improvement of the environmental well-being of their area.

Section 2 (4) (b) of the 2000 Act includes a specific power to give financial assistance to any person under the well-being provisions.

A sum of money is made available annually for registered third sector groups. This is to support individual groups or units not supported financially by the County Council, and to support individual young people to support learning and development.

The full amount of the grant money made available by the Wellbeing, Prevention and Early Help Service in this financial year 2017/2018 is £111,000. This is divided between the 12 districts, and 25% of each of the districts' allocation is ring fenced for individual young people's applications.

The amount available to be awarded to third sector organisations in the 2017/2018 financial year is £83,250. The amount available to be awarded to individual young people is £27,750.

Previously, a total of £1,500 has been awarded to registered voluntary organisations, leaving a remaining balance of £81,750.

The details of recent applications received by the registered third sector groups are attached at Appendix 'A'. The District Youth Councils have met to consider these applications and their recommendations are as listed in Appendix 'A'.

If the Cabinet agrees to the recommendations of the Youth Council on the registered voluntary organisation applications, a total of £4,000 will now be awarded. This leaves a balance for the financial year of £77,750.

The full allocation of £27,750 is still available for 2017/2018 to support young people's learning and development.

One grant application from a young person, exceeding the £250 threshold the District Youth Council is authorised to approve, has been received. This grant

application is for £411 towards a television and furniture for a young person who has moved into semi-independent living away from home which is not fully furnished.

If the Cabinet agrees to the Youth Council's recommendations, a total of £3,292 will have been awarded this month for grant applications from individual young people.

This leaves a balance for the financial year of £24,458.

**Implications:**

This item has the following implications, as indicated:

**Risk management**

If these grants are not approved then work to positively engage young people by the voluntary organisations may be at risk.

**Financial**

There is a budget of £111,000 for small grant awards within the Wellbeing, Prevention and Early Help Service that will be utilised to fund the grant allocations detailed in this report.

**List of Background Papers**

| Paper | Date | Contact/Tel |
|-------|------|-------------|
|-------|------|-------------|

N/A

Reason for inclusion in Part II, if appropriate

N/A



# Appendix A

## LANCASHIRE YOUNG PEOPLE'S SERVICE GRANT APPLICATION SUMMARY

### DISTRICT

|   |   |
|---|---|
| Organisation name   | <i>The AFC Fylde Community Foundation</i>   |
| Which District will the activities be delivered in?   | <i>Fylde</i>  |
| What is the grant for?  | <p><i>The funding will be for an 8 week programme to support individuals development by providing opportunities to build relationships, confidence and new participant opportunities by taking part in a range of continued stimulating activities. The sports delivered within this programme are Football, Dogeball and Basketball</i></p> <p><i>Costs breakdown:</i></p> <p><i>Hire of 2 x L2 detached youth workers @ £20ph including all mileage £2040</i></p> <p><i>Design and print leaflets £100</i></p> <p><b>Total Grant requested £</b></p>  |
| Numbers of young people will benefit from the project if successful?<br>(Age 20 – 24 only for those with learning difficulties or disabilities) | <p>Total Male <input type="text" value="220"/> Total Female <input type="text" value="140"/></p> <p>Number <input type="text" value="280"/> Number <input type="text" value="80"/> Number <input type="text"/></p> <p>Age 12-16 Age 17-19 Age 20 - 24</p>   |
| Will any vulnerable young people benefit from this funding?   | <p><b>YES – The project will work with young people from the following backgrounds:</b></p> <ul style="list-style-type: none"> <li>- <i>Looked after or leaving care</i></li> <li>- <i>Not in Education, Employment or Training</i></li> <li>- <i>Known to the Youth Offending Team</i></li> <li>- <i>Living in Rural Isolation</i></li> </ul>  |
| How will this project help develop young people's personal and social skills.   | <p><i>The AFC Fylde Community Foundation, working with Lancashire County Council Young People's Service, will actively support and develop young people's interpersonal and social skills. The Foundation through the development and delivery of this 8 week programme, will support individuals development by providing the following opportunities;</i></p> <ol style="list-style-type: none"> <li><i>1. Building of relationships- working with young people, The Foundation will support the development of shared learning, which will support the continued personal development of individuals, alongside the creation of strong and cohesive communities.</i></li> <li><i>2. Building of confidence- Through the consistent supported engagement opportunities presented within this programme, The Foundation believes that service users will be able to support the building of confidence and overall creation of relationships. Building of such relationships will allow the whole community to increase shared learning.</i></li> <li><i>3. New participant opportunities- Through training provided within the sports identified within this programme, The Foundations specialist outreach team will encourage service users to upskill and take part in new and transferable opportunities not currently available within the community.</i></li> <li><i>4. Development of community links- through participation in this programme, participants will be encouraged to form strong ad cohesive links with additional service users and other members of the community, made possible through participation in sporting activities within the community.</i></li> </ol> |
| How will young people be involved in developing and running the   | <p><i>The AFC Fylde Community Foundation is committed to working with service users, in order to maximise participant involvement in the development and delivery of this programme. The Foundation will include service users by carrying out the following</i></p>  |

|  |   |               |        |
|--|---|---------------|--------|
| project?   | <p><i>engagement work;</i></p> <p><i>Consultation prior to delivery- working with partners, The Foundation has consulted with a range of potential service users who The Foundation and its partner feel will benefit from participating in this project. Potential service users have provided The Foundation with a solid base of understanding around what service users need to overcome their barriers.</i></p> <p><i>Continuous consultation- each week, service users are provided with the opportunity to work with The Foundations specialist development team, who will work with The Foundation to continuously inform the project on what service users most need. This weekly engagement will provide service users with the best possible opportunity to inform and alter the direction of the programme, putting the service user at the heart of the programme.</i></p> |               |        |
| Project total cost   | £31240  |               |        |
| Amount requested   | £2000   |               |        |
| Has applicant requested funding from any other sources for this project/event?                             | AFC Fylde Football Club - £140  |               |        |
| Details of other funding awarded in the last two years by the County Council and/or Young Peoples Service. | Year  | Purpose       | Amount |
|  | 2015  | Outreach work | £2000  |
|  | 2016  | Outreach work | £1200  |
| Youth Council recommendations  | <i>The youth council approved the grant and stated it will let the young people make new friends, improve social skills and develop skills they need in life</i>  |               |        |
| Amount recommended   | £2000   |               |        |



|  |  |  |        |
|--|--|--|--------|
| project?   | <p><i>(starting point), they have a second opportunity to develop their care plan at the initial assessment interview, and they also have the opportunity in every session to evaluate and change any part of their action/care plan through negotiation.</i></p> <p><i>In the final evaluation they have an opportunity to feedback anything they would want to see changed so other young people can benefit. For example, during the pilot project young people said they would prefer to receive their support in schools rather than a local youth club or library, hence why we now deliver most support in the school environment and with minimal impact to their timetable.</i></p> |  |        |
| Project total cost   | £17,791  |  |        |
| Amount requested   | £2000  |  |        |
| Has applicant requested funding from any other sources for this project/event?                             | <p><i>Francis C Scott Charitable Trust £10,000 .....received</i></p> <p><i>Galbraith £2,500.....confirmed</i></p> <p><i>West Lancs Freemason's charity £ 3,500.....a/w result</i></p>  |  |        |
| Details of other funding awarded in the last two years by the County Council and/or Young Peoples Service. | Year   | Purpose  | Amount |
|  | 2015   | To provide spot purchase EHWB support in order to reduce the number of young people waiting to access services | £5000  |
|  | 2016   | As above   | £4,632 |
| Youth Council recommendations  | <i>The youth council approved the grant and stated that it was seen as value for money</i>   |  |        |
| Amount recommended   | £2000  |  |        |



**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of Service: Policy, Information and Commissioning (Start Well)****Part I**Electoral Divisions affected:  
All**Refreshed Special Educational Needs and Disabilities Joint Commissioning Framework 2017-2019**

(Appendix 'A' refers)

Contact for further information:

Dave Carr, (01772) 532066, Head of Service: Policy, Information and Commissioning (Start Well)

[dave.carr@lancashire.gov.uk](mailto:dave.carr@lancashire.gov.uk)**Executive Summary**

A Joint Commissioning Framework between the County Council and Lancashire Clinical Commissioning Groups (CCGs) has been in place since 2014 to help demonstrate the commitment of local commissioners to develop shared commissioning and delivery models to meet the diverse needs of children and young people with special education needs and disabilities (SEND) in the county. The existing Framework covered the period 2014 to 2016 and now needs to be refreshed.

A refreshed draft has been developed in collaboration with CCG representatives and is due to be tabled for collective agreement at the Collaborative Commissioning Board, comprising senior officers from the County Council and CCGs, in October 2017.

**Recommendation**

The Cabinet is recommended to agree that County Council officers seek to obtain collective agreement, through the Lancashire Collaborative Commissioning Network, of the draft Joint Commissioning Framework for Children and Young People with Special Educational Needs and Disabilities and their Families 2017-2019.

**Background and Advice**

Commissioning and service provision of services for children and young people with special educational needs and disabilities (SEND) in Lancashire is complex, with

responsibilities shared across Clinical Commissioning Groups (CCGs), The County Council, NHS England, and NHS Trusts. Schools, colleges and early years settings will also provide an element of funding, as appropriate, to meet the needs of individual children and young people.

A Joint Commissioning Framework between the County Council and Lancashire CCGs has been in place since 2014 to help demonstrate the commitment of local commissioners to develop shared commissioning and delivery models to meet the diverse needs of children and young people with SEND in the county. The existing Framework covered the period 2014 to 2016 and now needs to be refreshed.

The draft attached as Appendix 'A' provides an overarching framework for joint commissioning between the County Council and CCGs, covering issues including:

- An overview of the commissioning landscape and responsibilities for collective decision making in joint commissioning arrangements
- The Lancashire SEND Local Offer which brings together information which is intended to be helpful to children and young people with special education needs and their families
- Education, Health and Care Plans
- Personal Budgets
- Dispute resolution
- Priorities highlighted by children, young people, parents and carers and the approach to collaborative engagement
- The Joint Strategic Needs Assessment (JSNA)
- Key areas for improvement and subsequent priorities for action.

The draft Framework is proposed to be tabled for agreement by the Collaborative Commissioning Board, comprising of senior officers from the County Council and CCGs, in October 2017.

Cabinet are recommended to agree that County Council officers seek to obtain formal collective agreement of the draft Framework through the Collaborative Commissioning Board.

## **Consultations**

The draft framework includes priorities identified locally by children, young people, parents and carers and arrangements for collective engagement.

The Children and Maternity Services Collaborative Commissioning Network, comprising County Council, CCG and Unitary Authority representatives, have led the refresh.

The Lancashire County Council Transforming SEND Board, comprising County Council, CCG, school and parent carer representatives have reviewed and agreed the draft.

**Implications:**

This item has the following implications, as indicated:

**Risk management**

Failure to agree a refreshed Joint Commissioning Framework will diminish our ability to work collaboratively with CCGs across Lancashire and to ensure that we jointly address issues which will improve outcomes for children and young people with SEND and their parents/carers.

**Financial**

There are no financial liabilities arising from the Framework. Specific joint commissioning activity will continue to be subject to the appropriate governance arrangements for decision making.

**Legal**

There are no legal issues arising from the Framework. Appropriate legal frameworks, such as Section 75 agreements, will be established to support specific joint commissioning where appropriate and will be subject to the appropriate governance arrangements for decision making.

**Equality and cohesion**

The Joint Commissioning Framework will support the achievement of improved outcomes for children and young people with SEND.

**List of Background Papers**

| Paper | Date | Contact/Tel |
|-------|------|-------------|
|-------|------|-------------|

None

Reason for inclusion in Part II, if appropriate

N/A



# Joint Commissioning Framework

**Children and Young People with Special Educational Needs and Disabilities and their Families 2017 – 2019**

**DRAFT V6 21 August 2017**

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## Introduction

This commissioning framework relates to children and young people, 0-25 years old, who have Special Educational Needs and/or disability (SEND) and covers the areas of education, health and care in terms of statutory services. As well as the local authority and health commissioning bodies, schools, colleges and early years settings will provide an element of provision or funding, as appropriate, to meet the needs of individual children and young people.

Much has been achieved since we first established the CYP SEND Joint Commissioning Framework covering the period 2014-2016, including the jointly commissioned Single Loan Store. Continued cultural change, workforce development and redesign is needed to fully and successfully implement the SEND reforms across the county which will both take time and require social care, health and education services and professionals working together closely and putting children, young people, their families and carers at the centre of commissioning. This process is ongoing and will continue to evolve as a result of feedback.

This document demonstrates the commitment of local commissioners in Lancashire to develop shared commissioning and delivery models to meet the diverse needs of children and young people with special educational needs and/or disabilities (SEND) in the county. It provides a framework for detailed Commissioning Plans in the areas of special educational needs and disability and seeks to develop support which is child, young person and family led as opposed to service led.

The Lancashire Children and Young People's Trust has identified shared commissioning as a tool with which to achieve its vision and meet the requirements of financial challenges and new policies. In particular, the Trust sets out to achieve the following through effective commissioning:

- Systematically review and remove duplication across our services and make the most effective use of the total resource available to us
- Children and young people will be separately consulted and involved in decisions which affect them
- Focusing on improved outcomes rather than activity and processes, and monitoring and holding each other to account for our progress towards them
- Stop delivery or commissioning of those services that do not demonstrably improve outcomes for children, young people and their families

This framework covers both local authority and health commissioning and commissioned services across children and young people's services and adult services for young people up until the end of the academic year in which they reach 25 years old.

NHS commissioning and service provision for Lancashire is very complex. Commissioning and planning responsibilities are shared across a number of commissioning bodies, including 6 Lancashire Clinical Commissioning Groups (CCGs), (plus 2 CCGs associated with unitary authorities) and NHS England.

NHS services are delivered by 6 hospital trusts, 2 community health trusts and one mental health trust that deliver services across CCG boundaries.

Service quality, stability and patient safety are of paramount importance to NHS commissioning bodies and this framework outlines the future direction for possible joint commissioning arrangements that will embed the values principles, and best practice embodied within the act, into service planning and delivery for this group of children and young people.

## **Aims**

This framework outlines how partner agencies will jointly plan and commission support across all levels of identified need for children and young people with SEND. It provides a strategic overview for taking forward a set of commissioning strategies which are aimed at making sure that children and young people with SEND in Lancashire are enabled to understand their needs, access available support, achieve improved outcomes and to ensure that local and national requirements are met.

Arrangements will be sufficiently robust to reach a decision in every case, to ensure arrangements are regularly reviewed and to make sure we have the correct, relevant information to make decisions and enable joint commissioning. The arrangements we establish will allow for effective planning, enable progress to be measured and resolve any disputes that might arise between partners

## **Principles**

The following principles have guided this Framework:

- Ensuring child and parent/carer contributions are valued and respected
- Allowing families and practitioners to be creative and not just restricted by what is available now
- Empowering practitioners to make responsible decisions with child and parent/carers
- Providing services at mainstream universal level wherever and whenever possible
- Supporting family resilience enabling them to manage their daily lives, building on their knowledge, skills and expertise
- Taking full account of child/young person's wishes
- Making effective use of available resources
- Enabling integrated service re-design, delivery and accountability across education, health and social care
- Facilitating responsible and effective commissioning.

## **Joint Commissioning**

Joint commissioning is the process to decide how all resources available are used together to improve outcomes efficiently, effectively, equitably and sustainably.

It means special educational provision, health care provision and social care provision working together to improve outcomes for children, young people and their families and carers. This is an area where we can positively work together so that children and young people reach their full potential, receive the best support and services to assist this, have a positive experience while doing this and making sure



that this is achieved while getting the best possible value from our collective resources.

Work is continuing across Lancashire to meet the challenges of embedding the SEND Reforms, as detailed in the Children and Families Act 2014. The joint commissioning duty in this Act is a key driver for change. The work is being led and championed in Lancashire via the Transforming SEND Services Board.

Joint commissioning helps partners to work together to deliver personalised and integrated support that results in improved outcomes for the individual and improves systems and approaches and gives us opportunity in Lancashire to review, reconsider and redesign our services to improve the experiences of children, young people and their families whilst making the maximum use of our valuable local resources.

Together, education, health and social care will agree how they will work together to

- Provide personalised integrated support to deliver positive outcomes
- Bring together support across education, health and social care from early childhood through to adult life
- Improve planning for transition points between early years/school/college, children's and adult social care services and between paediatric and adult health services
- Raise aspiration and increase focus on improved life chances.

#### ***Who are the commissioners?***

- Young people, parents and carers.
- Local Authority including extra schools provision funded by top up from the local authority's high needs block. The local authority is also responsible for the commissioning of Public Health services.
- Schools and colleges. This includes schools, free schools, academies and independent schools, and colleges. Current regulations stipulate that schools fund the core provision from core funding (element 1) and up to £6,000 of extra provision from the school's notional SEN budget (element 2).
- Health. This includes provision commissioned by the Clinical Commissioning Groups, NHS England, and NHS Trusts and/or other commissioned providers.
- Department of Work and Pensions.

#### ***Where does this happen?***

- **Individual commissioning** – co-production between young people, parents, carers and support brokers. Lead professionals. Budget holders.
- **Community and operational commissioning** – targeted commissioning for groups and/or communities, groups of parents/carers/young people pooling budgets, self-directed support.

- **Strategic commissioning** – joint strategic plans to set future direction, allocating resources, performance management, review, development of supporting infrastructure. In consultation with children and young people, parents and carers key recommendations will be made at the Transforming SEND Services Board and joint commissioning decisions for the Local Authority and CCGs made by the Collaborative Commissioning Board.

### **Responsibility for decision making in joint commissioning arrangements**

As an upper tier local authority, Lancashire has a Health and Wellbeing Board. A Collaborative Commissioning Board has been established to oversee collaborative and integrated planning commissioning that is required across NHS and local authority commissioning bodies. These strategic fora, supported by fora such as the Lancashire CYP Trust Board and Children and Maternity Commissioners Network, provide leadership across the health, public health and social care system for the whole of the county population and help shape collaborative commissioning arrangements in the future. The Health and Well Being Board's function is to improve health and wellbeing of the Lancashire population and reduce health inequality and has a duty to promote integrated partnership working through joint commissioning, integrating provision and pooling budgets.

Over the period of this refreshed framework, we will begin to align our approach with the direction of travel and footprint agreed as part of Sustainable Transformation Plan (STP).

The complexity of strategic governance arrangements, particularly as we move to the STP footprints, means that we should expect that all joint commissioning decisions are discussed through the Transforming SEND Board and Childrens and Maternity Commissioners Network as a minimum and are agreed through the Collaborative Commissioning Board.

### **The Lancashire SEND Local Offer**

The SEND Local Offer brings together information that is intended to be helpful to children and young people with special educational needs and disabilities and their families. This is located on one easily searchable website. As a result of feedback the Local Offer will develop and grow. The Local Offer will be continually improved based on feedback from children and young people, parents and carers. Feedback to date has resulted in improvements to both the content and use of social media to ensure that information reaches those who need it.

[www.lancashire.gov.uk/SEND](http://www.lancashire.gov.uk/SEND)

The SEND Local Offer outlines public services that are available within:

- Education: e.g. nurseries, playgroups, schools and colleges as well as support services like educational psychologists, early years and early intervention workers
- Health: e.g. GPs, paediatricians, school nurses and therapists
- Social care: e.g. respite services and children's disability services.

It also details all of the statutory processes.

The local offer is a platform to establish improved relationships between services and the users of those services. Children, young people and their families will continue to help to shape future services and identify gaps in provision by offering their views and feedback. It will map the provision available in Lancashire for children, young people and their families.

The local authority will host the local offer, but it is the responsibility of all respective agencies to present their services in an accessible, user friendly way and make sure that access to information is available for those who cannot access the internet.

New developments such as the "i-thrive" digital portal, which will provide a range of self-help materials and information on services for children and young people experiencing emotional wellbeing and mental health issues, must be developed taking account of local offer.

Overall provision available will be reviewed in the light of comments from children, young people and parents. This will happen annually and we will provide feedback on the comments received and what we have done in response. (If the comments received require immediate response then this will be acted upon sooner). This will support the process of identifying gaps in service provision as well as highlighting good practice.

### **Co-ordinated assessment and service delivery – Education, Health and Care Plans (EHCPs)**

EHCPs bring together a child or young person's education, health and social care needs in to a single legal document. The EHCP sets out what extra support they will get to meet those needs.

We will develop arrangements to ensure that children, young people, parents and carers shape the EHCP process. We will achieve this through an EHCP evaluation feedback form, issued on a sample basis.

Commissioning of services requires that services provide co-ordinated and integrated assessments and provision in line with the agreed EHCP process. EHCPs will include expected outcomes for each individual and the attainment of these will act as an effective review process for individual commissioning. EHCPs will be person centred and outcome focused

Information on how to request an EHCP, the current EHCP Pathway and associated information for parents/carers and professionals is available on the Local Offer website:

<http://new.lancashire.gov.uk/children-education-families/special-educational-needs-and-disabilities/education-health-and-care-plans.aspx>

We are building and refreshing pathways but will ensure that the most up to date information is available through this website.

### **Personal budgets**

Personal Budgets (PB) are one aspect of a personalised approach to supporting children and young people with Special Educational Needs or Disabilities (SEND).

They should not be seen in isolation but as integral part of Person/Family Centred assessments that inform the Education, Health and Care planning processes.

Personal budgets are only agreed by the commissioning bodies when a clear and sensible set of outcomes are agreed. So a personal budget does not pay for a service, instead it pays for whatever it takes to achieve these outcomes. This is not new money but a different way of using the available resources. When the money comes from the NHS it is referred to as a Personal Health Budget.

The Education, Health and Care Plan (EHCP) will offer a personal budget for aspects of the provision outlined in it, if parents or young people wish it and in line with statutory regulations. The request for a personal budget can be made either during a statutory assessment (at the draft Plan stage), or when an EHCP is being reviewed/re-assessed. Personal budgets are an allocation of funding made for children and young people with SEND and their families, after an assessment of their needs and will be outlined in an EHCP. Going forward, commissioning bodies will, with parent/carers and Children and young people, develop processes and agreements that will result in the availability of a single fund. It will cover aspects of the EHCP that can be offered as a personal budget. It will not cover the cost of a named educational placement.

Personal budgets can be made up in the following ways:

- Notional Budget
- Budget held by a third party
- Direct Payment.

Personal budgets are designed to pay for the elements of provision that the local authorities, health commissioning bodies, and education settings have agreed can be offered as a direct payment. A direct payment will be the mechanism of receiving the personal budget.

NHS commissioning bodies have to ensure that services are clinically safe and remain sufficiently robust to continue providing evidence based interventions for the whole population. Currently children and young person's paediatric and specialist therapies are commissioned by block contracts and the funding is "locked in" via contractual arrangements and at the moment this funding is not available to be included into a Personal Health Budget.

Currently only funding relating to Children's Continuing Care (top up funding) and long term health needs will be available to be included into personalised health budgets. Going forward, NHS commissioning bodies will work collaboratively with parents/carers, children and young people to consider a process that might enable the funding "locked" into NHS block contracts, in time to be utilised within personal health budgets.

Joining up three funding streams – social care, health and education – is a challenge given that the funds are provided for quite different purposes and channelled through very different routes, and at this point integration is a work in progress.

<http://new.lancashire.gov.uk/children-education-families/special-educational-needs-and-disabilities/finance/personal-budgets.aspx>

## **Dispute resolution**

### **Disagreement Resolution Protocols**

There will be three aspects of disagreement resolution processes. The first is where parent or the young person wants different levels or types of provision to meet SEN or a disability, where an EHCP is not required. The second relates to the same situation, where an EHCP is in place. The third is where there is disagreement between agencies over who should provide the provision listed in an EHCP.

Parents and young people will also recourse to the appropriate complaints procedure for the service/ agency concerned.

### **Disagreement about provision without an EHCP**

If a parent/ child or young person feels that provision at the universal level (Common Assessment Framework) does not meet their needs they should take this up directly with the referrer. If at the specialist level, without an EHCP, they should discuss this with the universal and/or support service as appropriate. If a parent, or young person post statutory school age, wishes for an assessment for an EHCP, or a plan if one is not agreed following this process, they will have the right to lodge an appeal to Tribunal. Prior to this, independent mediation will be offered. All services will work in a mediation manner with parents in order to try to resolve any issues at as early a stage as possible.

### **Disagreement if an EHCP is in existence**

Requests for different provision should be made to the appropriate agency. If agreed they should be part of the annual review process in order to ensure that these are part of the EHCP. The review itself may be the basis for recommendations about different types of provision. These should be for major changes listed on the EHCP, whilst day to day changes required as the child/ young person develops. If the parent/ young person (post statutory school age) wish for different provision than the local authority feel is appropriate in terms of education or care they can make an appeal to the tribunal. Independent mediation should be offered before this occurs. If the disagreement is with medical provision, mediation has to be offered but the parent/ young person cannot legally take the case to tribunal. Funding for mediation services is currently provided by the Local Authority. The need for Health contributions will be reviewed if there is any significant increase in requests for mediation as a result of disagreements with medical provision. At all times services should work in a mediation way with parents, seeking to resolve issues as early as possible.

If parents/ young people request provision that is not listed in the Local Offer then a process of verification in terms of cost effectiveness, safety, quality and efficacy in terms of outcomes will occur. If provision meets the criteria to be included in the Local Offer, this will occur, and be listed on the EHCP for the individual concerned.

### Disagreement between responsible commissioners

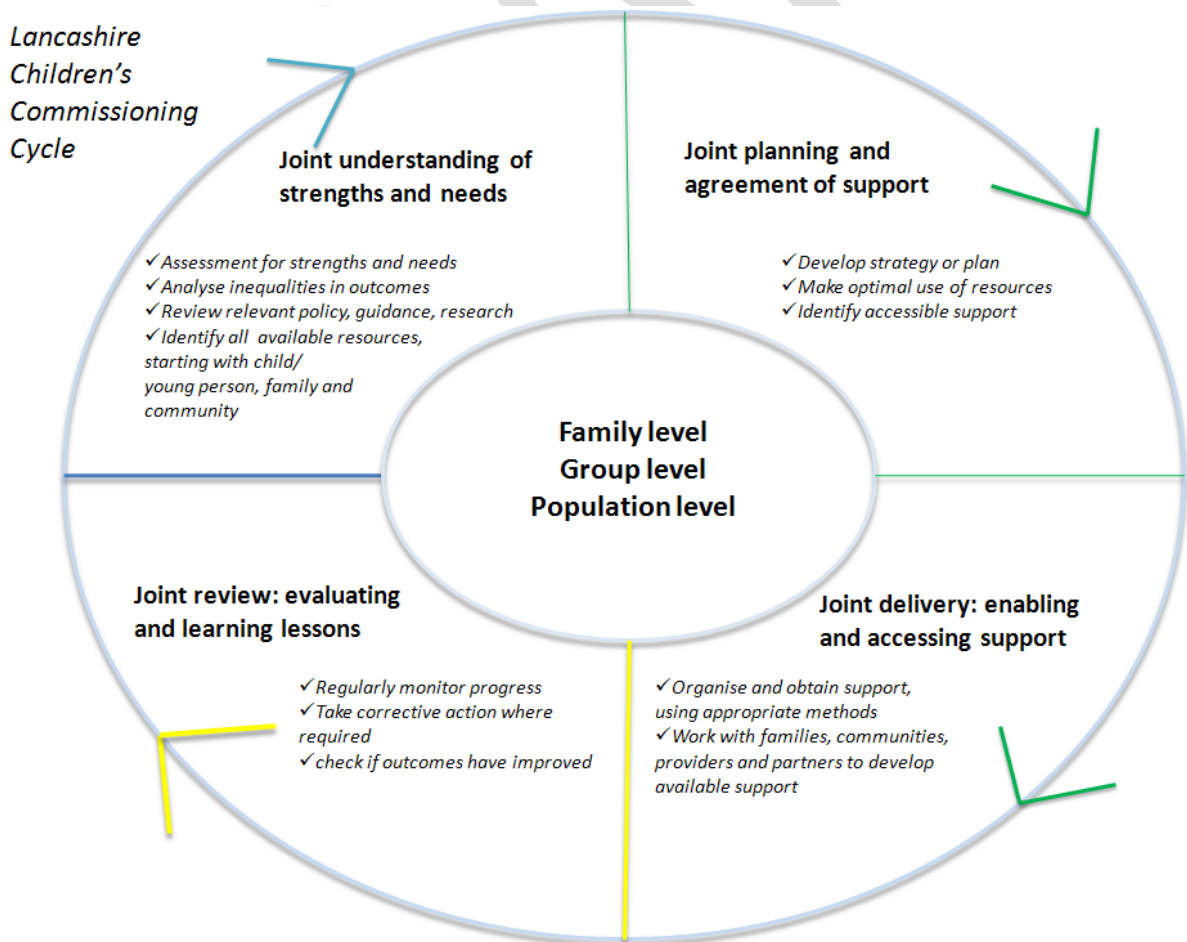
In the first instance, any disagreement between respective commissioners, e.g. local authority and NHS, regarding who should fund required provision to meet identified needs should try to be resolved between the staff immediately concerned. Where this is not possible, it should be escalated to their line managers and if resolution is still not agreed, resolution should be sought at Senior Commissioning Manager and/or Director level within the commissioning bodies. If required, provision has been made to access independent mediation and disagreement provision

Details of the mediation and disagreement provision in Lancashire can be found on the Local Offer website

<http://new.lancashire.gov.uk/children-education-families/special-educational-needs-and-disabilities/help-for-parents-and-carers/dispute-resolution,-mediation-and-appeals.aspx>

### Lancashire Children's Commissioning Cycle

The Lancashire Children's Commissioning Cycle has been developed to reflect our commitment to working in partnership with children, young people and families. The cycle recognises the three levels at which we undertake commissioning; the family or individual level, the group or locality level and the population or strategic level and that these impact upon each other.





## 'Understand' Stage of the Commissioning Cycle

### National and Local Guidance and Research

There are a number of key policy developments which will govern our local response to children and young people with SEND. This Framework is underpinned and will be influenced by a number of pieces of legislation and national guidance as well as local agreements and arrangements (see Appendix 1)

The key new legislation is the Children and Families Act 2014 and the Code of Practice.

- Children and Families Act 2014. Sections 23,25,28 and 31
- Special Educational Needs and Disability Code of Practice: 0-25 years (June 2014)
- Implementing a new 0-25 special needs system: LAs and partners. Further Government advice for local authorities and health partners

### Children and Families Act 2014

Local authorities are required by Section 25 of the Children and Families Act 2014 to exercise their duties and powers under the Act with a view to ensuring the integration of special educational provision with health and social care provision where this would promote the wellbeing of children and young people in their area who have SEND or improve the quality of special educational provision.

Section 26 of the Children and Families Act 2014 requires local authorities, and clinical commissioning groups and other NHS commissioning bodies to jointly commission services for children and young people with SEN, including those without Education, Health and Care Plans. These arrangements must be robust enough to ensure a clear course of action in every case. The arrangements also require partners to establish effective dispute resolution procedures where local agencies disagree.

The Care Act 2014 requires local authorities to ensure co-operation between children's and adults' services to promote the integration of care and support with health services so that young adults are not left without care and support as they make the transition between child and adult social care.

The Children and Families Act includes a duty that means that Clinical Commissioning Groups have to secure health services outlined in education, health and care plans for children and young adults. There is a requirement for Local Authorities, health and care services to commission services jointly; to ensure that the children with special educational needs and disabilities have these needs met. This will include specialist services like physiotherapy, and speech and language therapy.

The legislation also requires:

- Local Authorities to publish a clear '**local offer**' of services, so parents and young people can understand what is available
- A more **streamlined assessment process**, which integrates education, health and care services and involves children and young people and their families
- The **option of a personalised budget** for families and young people with a plan, extending choice and control over their support
- New **statutory protections for young people aged 16-25 in FE** and a stronger focus on preparing for adulthood
- Academies, Free schools, Further Education and Sixth Form Colleges to have the **same SEN duties as maintained schools**.

### **Special Educational Needs and Disability Code of Practice: 0-25 years**

The Special Educational Needs and Disability Code of Practice underpins the reforms detailed in the Children and Families Act. A key theme of the Code of Practice is engaging with children and young people with SEND and making sure they experience a system that involves them, lets them know what they can reasonably expect, picks up issues quickly and works with them to achieve their aspirations.

The Code encourages the local authority to start by building partnerships, and use those relationships to build a joint understanding of the needs of the area, before planning, delivering and reviewing that offer so it can improve the outcomes of 0-25 year olds with SEND, whether or not they have EHCPs.

<https://www.gov.uk/government/publications/send-code-of-practice-0-to-25>

[www.lancashire.gov.uk/SEND](http://www.lancashire.gov.uk/SEND)

### **Consultation**

#### **Nationally, parents and professionals have said that they want**

- Services that build around a child, irrespective of boundaries and don't compartmentalise need;
- Services viewed in the context of people's lives and their contribution to them, not the other way round;
- Services that are flexible personalised and meet family need;
- More streamlined assessment and review – services that talk to one another and work effectively together;
- Services that respond to variations and are there when families need them;
- Involvement/engagement in their care and support at a level that suits them, having different conversations, doing with rather than doing to;
- Services that are commissioned with family voice at the centre;
- Reducing adversary and moving towards partnership with services and professionals;



- Not having to retell their story, a single narrative, a single plan and a coordinated response;
- Clarity about how to get support and where to go for it;
- A system that doesn't create a burden and allows parents time to be parents rather than, keyworkers, care coordinators, case officers, legal experts etc etc.

*(Support and aspiration: a new approach to special educational needs and disability, DFE 2011)*

### **Locally, children, young people, parents and carers tell us:**

To 'look at the whole picture rather than individual service provision', and that they would like 'One person for the family to phone, a central point of contact'. When asked how we can make the best use of the resource available, parents gave us many suggestions, but the following were mentioned repeatedly

- Increased knowledge of what is available
- Training for staff
- Joined up services
- More use of direct payments
- More locally delivered services
- More consultation with parents, carers and the community including the voluntary sector.

POWAR is Lancashire County Council's participation council group for children and young people with special educational needs and disabilities.

SEND Participation for parents and carers is delivered through 12 local parent carer forums facilitated by liaison officers. This is a place where parent carers can find out local, regional and national information that is relevant to them and their families. These forums are a place for parents to have their voice heard, raise local concerns and provide parent to parent support.

The SEND team also works closely with the independent Steering Group for the Lancashire Parent Carer Forum to enable parent carers to have their voices heard, arrange parent carer training and assist with shaping services.

The SEND communication strategy includes the SEND local offer, the FIND Newsletter and social media.

- The FIND newsletter is free to all families that live in Lancashire that include a child with SEND who have registered on the FIND Database
- The SEND local offer is the first point of contact for all families that include a child with SEND and has a wealth of information. The local offer will evolve through individual parent feedback and through partnership working with the Lancashire Parent Carer Forum Steering Group.
- Lancashire County Council has a local offer Facebook page which provides information about services across the county for families of children with

special educational needs and/or a disability (SEND), covering areas including health and social care, education, early years, finance, transport, leisure activities and support groups.

The support of all partners is needed to ensure that children, young people, parents and carers are able to shape services for the future. Locally, we are working with children, young people and parent carers through collaborative workshops to make a difference for all families in Lancashire. We have agreed 4 steps to shaping SEND together with children, young people, parents and carers:

- Engage – this means involving everyone to develop services in the right place at the right time
- Listen – We need to spend time listening to what people want so that we don't waste services on things they don't need. We need to make sure everyone has an equal voice and is heard.
- Participate – we need to work as a team and make sure collaboration is done equally with everyone involved.
- Co-produce – by building on what we know and using people's energy, experience and knowledge to shape our services.

<http://www.lancashire.gov.uk/children-education-families/special-educational-needs-and-disabilities/shaping-send-together.aspx>

### Needs assessment

Joint commissioning should be informed by a clear understanding of local needs. There is a clear relationship between the needs of the whole population needs, what is provided for children and young people with SEND and individual EHCPs. This relationship is illustrated in the diagram below.

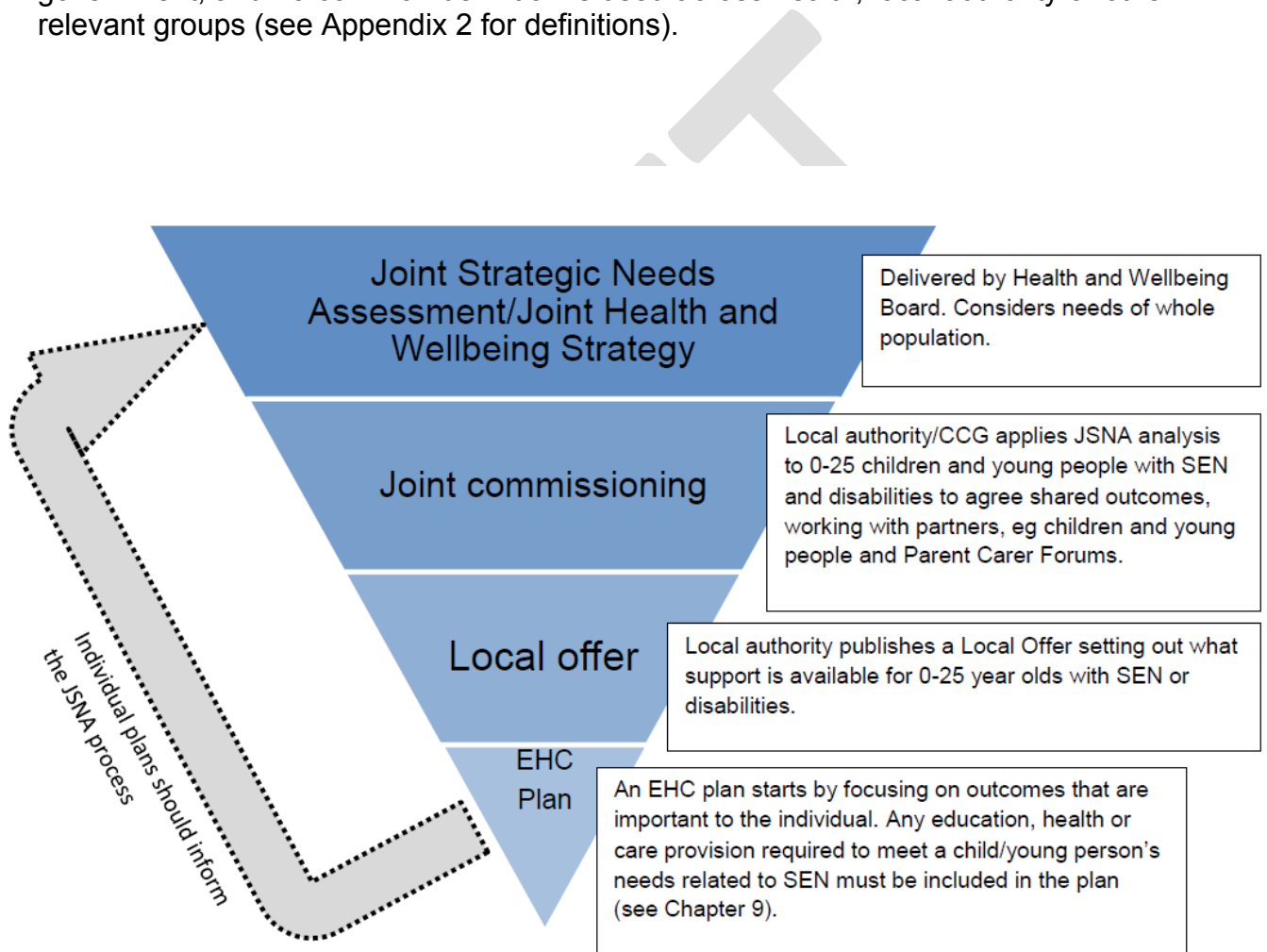
To inform commissioning under the SEND reforms partners from across Lancashire worked together to produce a [comprehensive needs assessment](#). This JSNA took an in-depth look at the population of children and young people with SEND, their outcomes and determinants of SEND.

Elements of data were refreshed in September 2016, indicating that:

- The percentage of children with statements or EHC plans is 2.9% (England 2.8%)
- Just over 5,200 young people aged 0-25 years have a statement/EHC plan, a decrease from 3.1% in January 2015 (Eng 2.8%).
- 9.1% have SEN support (Eng 11.6%), a decrease from 10.5% in 2015.
- 410 children and young people had a new EHC plan, while 10 new statements were issued.
- 275 statements/EHC plans were discontinued, primarily due to the end of compulsory education.

- Educational achievement of those with SEND is better than the national and regional figures, rating the county council as 'outstanding' for this indicator.
- The authority is also ranked as 'good' for the percentage of young people with a SEND not in employment, education or training (NEET)

There are a number of statutory definitions relating to disability used by central government, and no common definition is used across health, local authority or other relevant groups (see Appendix 2 for definitions).



## Outcomes

Nationally it is reported that compared to their peers, children and young people with SEND are considerably more likely to be at risk of poorer outcomes:

- Children and Young People with SEN are:
  - less likely to achieve five or more A\*-C grade GCSEs
  - more likely to live in poverty than their peers
  - more than twice as likely not to be in education, employment and training post 16

- having a healthy start in life during childhood has an impact on adult health and life expectancy
- The Millennium Cohort Study is collecting information on 18,000 children as they grow up in the UK
- The health of children with learning disabilities within the study was considered when they were seven years old.
- On most measures children with learning disabilities had poorer health than their peers
- For 13-15 year olds on every measure boys (but not girls) with learning disabilities had poorer health
- Children and young people who report being disabled are:
  - less likely to say that they are happy
  - less likely to say they have friends
  - more likely to be poor
  - more likely to live in poor areas
  - more likely to be bullied at school
  - more likely to be excluded - Children and young people with special educational needs are seven times more likely than their peers to be permanently excluded from school and six times more likely than their peers to have fixed term exclusions
  - more likely not to exercise
  - Young people with statements are over represented in the population of young offenders.

*(DFE Green Paper, March 2010)*

We require professionals to adopt person centred practice and planning, engage in co-production with children young people and their families, and to agree how to improve outcomes for this population of children and young people and to ensure that a life span approach is adopted to plan, write and deliver outcomes focused and evidence based work. The impact of this will be measured and clearly show that people's lives are getting better.

## **What do we currently commission?**

The commissioners of services for this cohort are Lancashire County Council, the six Lancashire Clinical Commissioning Groups, NHS England and schools and colleges.

Lancashire's Local Offer website provides information on the wide range of services that are available as well as helping people to find answers to questions they may have about processes, finance and how they can help shape the SEND agenda. The Local Offer should always be consider before developing new commissioning intentions.

The local offer covers:

- Public services that are available within education, health and social care

- Voluntary and private sector support and services like charities and disability groups, nurseries or youth clubs.
- Activities for children and young people who have additional needs like cinema screenings for children with specific needs, evening clubs during the week and events throughout the school holidays.
- Information for young adults to help you make informed choices about things that are important to you like employment and where to live, options after school and transport and social activities
- Help for parents and carers like independent advice services and who to speak to if you think your child needs extra help

<http://www.lancashire.gov.uk/children-education-families/special-educational-needs-and-disabilities.aspx>

## Performance - How well have we been doing?

In the year to January 2016:

- The percentage of children with statements or EHC plans is 2.9% (England 2.8%)
- Just over 5,200 young people aged 0-25 years have a statement/EHC plan, a decrease from 3.1% in January 2015 (Eng 2.8%).
- 9.1% have SEN support (Eng 11.6%), a decrease from 10.5% in 2015
- 410 children and young people had a new EHC plan
- 275 statements/EHC plans were discontinued, primarily due to the end of compulsory education.
- Educational achievement of those with SEND is better than the national and regional figures, rating the county council as 'outstanding' for this indicator.
- Lancashire is also ranked as 'good' for the percentage of young people with a SEND not in employment, education or training (NEET)

## Gap Analysis and the Design of Future Provision

Financial pressures within public services continue to present challenges. It is therefore imperative that the future design and commissioning of services is done jointly to enable us to manage gaps that may appear and to provide the flexibilities needed to do more with less.

Commissioning will be undertaken collaboratively not only between all commissioning bodies but also with children, young people and families, building on their strengths and will provide real choice.

It is also vital we develop shared ownership, shared commissioning and service delivery which utilises shared locations and shared information. Ultimately providing for families shared pathways through support, which is simple to navigate.

In 2016 we undertook a joint self-assessment, highlighting the things that we do well together and also the areas in which we need to work together. The things we do well included:

- Collaborative working between NHS Partners and the County Council.
- Various joint planning meetings which include – SEND oversight, Provider forum, Health attendance at SEND inspection Board and Transforming SEND Board.
- An increase in the rate of health advice returns for EHC transfers.
- Pathway communication improvement across SEND and Health (Sharing knowledge).
- SEND Attendance at CDC team liaison meetings (Learner Support and EP's).
- Improved joint focus across health in preparation for adulthood.
- Providers/Commissioners increased recognition of the need/demand for SEND resulting in the commissioning of Commissioning Support Unit support in a project co-ordination role.

Our key areas for improvement included:

- Implementation of a single health advice form and associated health matrix.
- Improving how health engages with parents/carers/young people, through the use of the collaborative workshops.
- Developing and agreeing the person specification for the Designated Medical Officer (DMO) role which includes any agreed actions from the triangulation of audit tools and self-evaluation frameworks.
- Redesigning the EHCP pathway to include a more robust process for health input.
- Developing a SEND/Health data sharing protocol with a focus around need/demand/transfers.
- Sharing of good practices around advices/examples.
- Developing a review cycle to ensure the Health content within the local offer is current and relevant.
- Developing a plan/process to ensure that data is included within the 2017/18 JSNA.

## **How will we know we have got there?**

We have made significant progress in our collective understanding of our strengths and areas for further development, evidenced through our Self Evaluation Framework. We have also developed the "data dashboard" providing the basis upon which we can now begin to develop a more comprehensive performance framework. The development of that framework will be an early priority in the period of this refreshed commissioning framework.

## Next Steps

- Continue to embed the SEND reforms, led by the Transforming SEND Services Board.
- Ensure that joint strategic plans in respect of SEND joint commissioning by the local authority and CCGs are considered by the transforming SEND Services Board and agreed through the Collaborative Commissioning Board.
- Continue to maintain and refresh the Local Offer and ensure that related activity, such as the "i-thrive" digital portal, which will provide information to support emotional wellbeing and mental health, takes account of the Local Offer.
- Continue to work collaboratively to ensure that children, young people, parents and carers shape the Local Offer and EHCP pathways.
- Scope out the activity and resource necessary to develop processes and agreements that will result in the availability of a single fund that covers aspects of the EHCP that can be offered as a personal budget.
- Review on an ongoing basis requests for mediation linked to disagreements with medical provision and the associated resources required.
- Develop a joint plan to review and refresh service specifications and commissioning arrangements for jointly commissioned services, such as physiotherapy and speech and language therapy.
- Address the key areas for improvement identified through the joint self-assessment.
- Continue to develop the data dashboard and comprehensive performance framework.



## Appendices

### Appendix 1

#### Primary Legislation

Sections 23, 25, 28 and 31 of the [Children and Families Act 2014](#)

The [Care Act 2014](#)

Section 2 of the [Chronically Sick and Disabled Persons Act 1970](#)

Schedule 2, Sections 17 and section 47 of the [Children Act 1989](#)

Section 2 of the [Children Act 2004](#)

[National Health Service Act 2006](#) (Part 3, section 75 and 14Z2)

[Local Government and Public Involvement in Health Act 2007](#)

[Equality Act 2010](#) (including disability equality duty under s149)

[Health and Social Care Act 2012](#)

#### Lancashire

[Lancashire Children and Young People's Plan 2014 – 2017](#)

[Lancashire's Children and Young People's Commissioning Framework](#) - July 2013



## Definitions

### Definition of Special Educational Needs (Education Act 2001)

Children have special educational needs if they have a *learning difficulty* which calls for *special educational provision* to be made for them.

Children have a *learning difficulty* if they:

- a) have a significantly greater difficulty in learning than the majority of children of the same age; or
- b) have a disability which prevents or hinders them from making use of educational facilities of a kind generally provided for children of the same age in schools within the area of the local education authority
- c) are under compulsory school age and fall within the definition at (a) or (b) above or would so do if special educational provision was not made for them.

Children must not be regarded as having a learning difficulty solely because the language or form of language of their home is different from the language in which they will be taught.

*Special educational provision* means:

- a) for children of two or over, educational provision which is additional to, or otherwise different from, the educational provision made generally for children of their age in schools maintained by the LEA, other than special schools, in the area
- b) for children under two, educational provision of any kind.

See Section 312, Education Act 1996

### Definition of Children with Disabilities (Children Act 2004)

A child is disabled if he is blind, deaf... or suffers from a mental disorder of any kind or is substantially and permanently handicapped by illness, injury or congenital deformity or such other disability as may be prescribed.

Section 17 (11), Children Act 1989

### Definition of Children with Disabilities (Disability Discrimination Act 1995)

A person has a disability for the purposes of this Act if he has a physical or mental impairment which has a substantial and long-term adverse effect on his ability to carry out normal day-to day activities.

Section 1(1), Disability Discrimination Act 1995

### Definition of Disability (Equality Act 2010)

A person is disabled, if he or she has a physical or mental impairment that has a 'substantial' and 'long-term' negative effect on his or her ability to do normal daily activities:

- 'substantial' is more than minor or trivial - e.g. it takes much longer than it usually would to complete a daily task like getting dressed
- 'long-term' means 12 months or more - e.g. a breathing condition that develops as a result of a lung infection

Equality Act 2010



**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Director of Corporate Commissioning****Part I**Electoral Divisions affected:  
All**Implementation of the Care Act 2014 - Approval of Revised Adult Social Care Policies and Procedures incorporating Carer's Assessments, Carer's Eligibility Criteria and Carer's Budgets, and Reablement.**

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

Contact for further information:

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[kieran.curran@lancashire.gov.uk](mailto:kieran.curran@lancashire.gov.uk)**Executive Summary**

The Care Act 2014 altered the financial, legal, commissioning and operational landscape for local authorities. Reviewing, maintaining and improving the county council's adult social care policies, procedures and guidance (PPG) is therefore essential to the professional and high quality delivery of assessment, support, information and advice for those working with adults who have social care needs, and to ensure legal compliance with the Care Act.

A comprehensive review of the county council's adult social care policies, procedures and guidance has therefore been undertaken and key policy documents have been identified for review and revision as part of a phased programme, as authorised by Executive Scrutiny Committee on 8 March 2016 and the Cabinet Member for Adult and Community Services on 9 March 2016.

This phased programme continues with the submission of three new policy, procedures and practice guidance documents: Carer's Assessments, Carer's Eligibility Criteria and Carer's Budgets, and Reablement.

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

## **Recommendation**

The Cabinet is recommended to:

- (i) Approve the following revised Adult Social Care Policies:
  - a. Carer's Assessments (Appendix 'A')
  - b. Carer's Eligibility Criteria and Carer's Budgets (Appendix 'B')
  - c. Reablement (Appendix 'C')

## **Background and Advice**

### **Current arrangements**

[A new framework was approved by Executive Scrutiny in March 2016 to ensure compliance with the Care Act.](#) All new policy documents will follow the new requirements for decision making approved by Full Council in June 2017.

### **Summary of Revised Policies and Procedures**

Three new policies – Carer's Assessments, Carer's Eligibility Criteria and Carer's Budgets, and Reablement – are now ready for approval by Cabinet.

- Carer's Assessments

This document sets out the county council's response to duties under section 10 of the Care Act 2014 to ensure that any carer with an appearance of need for support receives a proportionate assessment which identifies their level of needs and how these impact on their wellbeing. Please see Appendix 'B' ("Carer's Assessments") for more information.

- Carer's Eligibility Criteria and Carer's Budgets

This document sets out the county council's response to duties under sections 13, 18 and 20 of the Care Act 2014 to meet a carer's needs for support following a determination of eligibility. Please see Appendix 'C' ("Carer's Eligibility Criteria and Carer's Budgets") for more information.

- Reablement

This document sets out the county council's response to duties under sections 2, 18, 19 and 20 of the Care Act to provide a reablement service designed to help people develop the confidence and skills they need to live as independently as they can. Please see Appendix 'D' ("Reablement").

## Consultations

Wider public consultation has not been undertaken as the documents in question are revisions to existing policy and guidance to ensure that they fully reflect new duties and requirements placed on the county council under the Care Act.

## Implications:

This item has the following implications, as indicated:

- Workforce

Our support for Lancashire residents is guided by the county council's comprehensive range of adult social care policies, procedures and practice guidance. The accuracy and relevance of these documents is essential to support practice and the delivery of high quality services.

The Care Act and supporting guidance places a series of new duties and responsibilities on the county council in regard to the care and support for adults. All revised or new documents have been reviewed and cleared by our legal team before being presented to Cabinet for final approval. All documents will be publically accessible as part of this process with the aim of reducing legal challenge or complaints due to lack of understanding or transparency.

- Equality and Diversity

The Care Act itself was implemented following a period of consultation and its provisions were assessed for their equality impact.

- Financial

A person's eligibility for care and support provided by the county council will be determined, following a proportionate assessment. The person must have needs arising from a physical or mental impairment or illness and be unable to achieve two or more outcomes, as defined in the Care Act 2014. This is further explained in our [Eligibility Criteria policy](#). Information is provided during the assessment period as to the [potential financial implications to the person receiving care and support](#) when the outcome of the assessment has been determined and agreed by both the assessor and the person being assessed and/or a suitable person e.g. family member, advocate and/or Power of Attorney. This will detail how a person's contribution to care is worked out and — where an assessment determines that future care needs would be best met in a residential setting — describes the implications to the person if they own a property and the deferred payment options offered by the council.

Following the assessment stage, the individual's estimated personal budget must be shared when the care and support plan is being drafted.

Any financial implications that result from a needs assessment or care and support plan are addressed via the specific commissioning, delegation and funding arrangements governing each individual social care service, if so required.

### **Risk management**

The Care Act Statutory Guidance sets out that the county council should develop and maintain policies in relation to a number of subject areas covered in the Act. If the recommendations are not taken forward, the county council may be at risk of future legal challenges.

### **List of Background Papers**

| Paper  | Date          | Contact/Tel   |
|--|---------------|---|
| Care Act 2014 --<br><a href="http://www.legislation.gov.uk/ukpga/2014/23/pdfs/ukpga_20140023_en.pdf">http://www.legislation.gov.uk/ukpga/2014/23/pdfs/ukpga_20140023_en.pdf</a>                                | April 2014    | Kieran Curran<br>Policy, Information and<br>Commissioning (01772)<br>536068N. |
| <a href="#">Implementation of the Care Act – Approval of revised Adult Social Care Policies and Procedures incorporating the Wellbeing Principle, Eligibility, Ordinary Residence and Independent Advocacy</a> | March 2016    |   |
| <a href="#">Care Act– update of care and support statutory guidance</a>  | February 2017 |   |

Reason for inclusion in Part II, if appropriate

N/A

# Adult Social Care Policies and Procedures

## CARER'S ASSESSMENTS

**WARNING!** Please note if the review date shown below has passed this procedure may no longer be current and you should check the PPG E Library for the most up to date version

# Contents

## CARER'S ASSESSMENTS

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## POLICY VERSION CONTROL

|   |   |                             |                     |
|---|---|-----------------------------|---------------------|
| <b>POLICY NAME</b>  | <b>Carer's Assessments</b>  |                             |                     |
| <b>Document Description</b>                                       | <b>This document sets out the county council's response to the Care Act 2014 in regard to carrying out a carer's assessment whenever it appears that the carer may have any level of needs for support.</b> |                             |                     |
| <b>Document Owner</b><br>1) Officer, position and contact details | <b>Chris Cote</b>   |                             |                     |
| <b>Document Author(s)</b>   | <b>Natalie Burfitt/Chris Cote/Kieran Curran</b>   | <b>Date</b>                 | <b>17 July 2017</b> |
| <b>Status</b><br>(Draft/Live/Withdrawn)                           | <b>Draft</b>  | <b>Version</b>              | <b>2.0</b>          |
| <b>Last Review Date</b>   |   | <b>Next Review Due date</b> |                     |
| <b>Approved by</b>  |   | <b>Position</b>             |                     |
| <b>Signed</b>   |   | <b>Date Approved</b>        |                     |

### DOCUMENT CHANGE HISTORY

| <b>Version No</b> | <b>Date</b>          | <b>Issues by</b>  | <b>Reason for change</b>   |
|-------------------|----------------------|-------------------|--|
| <b>0.1</b>        | <b>29 March 2017</b> | <b>All</b>        | <b>General proof reading changes</b>   |
| <b>0.2</b>        | <b>17 July 2017</b>  | <b>Chris Cote</b> | <b>Additional content added to original following consultation with Head of Service.</b> |

## 1. POLICY STATEMENT

The county council **must** ensure that any carer with an appearance of need for support receives a proportionate assessment which identifies their level of needs and how these impact on their wellbeing. This applies whether an individual currently provides or intends to provide care for another adult and is irrespective of their financial situation.

The carer's assessment **must** consider the outcomes the carer wants to achieve in their daily life, their activities beyond their caring responsibilities, and the impact of caring upon those activities. This includes considering the impact of caring responsibilities on a carer's desire and ability to work and to partake in education, training or recreational activities, such as having time to themselves in both the short term and over time.

An assessment **must** seek to establish the total extent of the carer's needs, what outcomes the carer is looking to achieve to maintain or improve their wellbeing, and what types of care and support can help to meet those needs. This **must** include looking at the impact of the adult's needs on their wellbeing and whether meeting these needs will help the adult achieve their desired outcomes. The county council **must** also consider the person's own strengths, if any other support might be available in the community to meet those needs and whether the individual's needs impact upon their wellbeing beyond the ways identified by the individual.

Prevention and early intervention are placed at the heart of the care and support system, and even if a person has needs that are not eligible at that time, the local authority **must** consider providing information and advice or other preventative services.

Carers' assessments **must** seek to establish not only the carer's needs for support, but also the *sustainability* of the caring role itself, which includes both the practical and emotional support the carer provides to the adult. Therefore, the county council **must** include in its assessment a consideration of the carer's potential future needs for support. Part of this **must** be a consideration of whether the carer is, and will continue to be, able and willing to care for the adult needing care. Some carers may need support in recognising issues around sustainability, and in recognising their own needs. Where appropriate these views should be sought in a separate conversation independent from the adult's needs assessment.

Where an adult provides care under contract (e.g. for employment) or as part of voluntary work, they should not normally be regarded as a carer, and so the local authority would not be required to carry out the assessment. There may be circumstances, however, where the adult providing care is also providing care for the same adult outside of contracted or voluntary work arrangements. If so, the county council **must** consider whether to carry out a carer's assessment for that part of the care they are not providing on a contractual or voluntary basis. There may also be cases where the person providing care does so as voluntary work or under contract, but the nature of their relationship with the person cared for is such that they ought to be considered as a carer. The county council has the power to carry out an assessment in such cases, if it judges that there is reason to do so.

The county council should always act promptly to meet people's needs. The lack of a carer's assessment must not be a barrier to action. Neither is it necessary to complete the assessment before or whilst taking action.

## Young Carers

The county council **must** also identify any children who are involved in providing care. The authority may become aware that the child is carrying out a caring role through the assessment of the person needing care or their carer, or informed through family members or a school. Identification of a young carer in the family **should** result in an offer of a needs assessment [LINK] for the adult requiring care and support and, where appropriate, the county council must consider whether the child or young carer should be referred for a young carer's assessment or a needs assessment under the [Children Act 1989](#), or a young carer's assessment under section 63 of the Care Act.

When carrying out a carer's assessment, if it appears that a child is involved in providing care the county council **must** consider:

- the impact of the person's needs on the young carer's wellbeing, welfare, education and development
- whether any of the caring responsibilities the young carer is undertaking are inappropriate

An assessment **should** take into account the parenting responsibilities of the person as well as the impact of the adult's needs for care and support on the young carer. We **must** also consider whether any of the caring tasks the child is undertaking are inappropriate. They should consider how supporting the adult with needs for care and support can prevent the young carer from undertaking excessive or inappropriate care and support responsibilities. A young carer becomes vulnerable when their caring role risks impacting upon their emotional or physical wellbeing or their prospects in education and life. This might include:

- preventing the young carer from accessing education, for example because the adult's needs for care and support result in the young carer's regular absence from school or impacts upon their learning
- preventing the young carer from building relationships and friendships
- impacting upon any other aspect of the young carer's wellbeing.

Therefore to fulfil its duty under section 10 of the Care Act, the county council will work with its statutory, voluntary and private sector partners in order to comply with the national threshold relating to care and support in manner that is relevant, coherent, timely and sufficient.

The county council will make all reasonable adjustments to ensure that all disabled people have equal access to participate in the eligibility decision in line with the Equality Act 2010.

The geography and population of Lancashire is diverse and our Adult Social Care Policies and practice will aim to deliver services and supports that are representative of the communities in which we work.

The county council will follow the Care Act and other relevant legislation, policies and guidance to ensure our practice is of high quality and legally compliant. Where our customers or those we come into contact with wish to challenge or raise concerns in regard to our decisions, regarding eligibility the county council's complaints procedures will be made available and accessible.

## 2. KEY DEFINITIONS AND PRINCIPLES APPLICABLE TO THIS POLICY

Many of the core aims of the Care Act (particularly its focus on preventing, delaying or reducing the need for care and support) apply equally to individuals **and** their carer's. While this document details the county council's responsibilities around Carer's Assessments, staff should be aware of other areas of the Act that impact on the role of carer's. Where appropriate, we have provided links to relevant Policy, Procedures and Guidelines (PPG) documents and you can consult Section 4 (Related Documents) for more information.

### 2.1 Wellbeing

“Wellbeing” is a broad concept under the Act, and it is described as relating to the following areas in particular:

- personal dignity (including treatment of the individual with respect)
- physical and mental health and emotional wellbeing
- protection from abuse and neglect
- control by the individual over day-to-day life (including over care and support provided and the way it is provided)
- participation in work, education, training or recreation
- social and economic wellbeing
- domestic, family and personal
- suitability of living accommodation
- the individual's contribution to society

There is no hierarchy, and all should be considered of equal importance when considering “wellbeing” in the round.

### 2.2 Assessment

This is one of the key interactions between the county council and a carer (or indeed the person they care for). The process must be person-centred throughout, involving the person and supporting them to have choice and control. It starts from when the county council begins to collect information about the carer, and will be an integral part of the carer's involvement in the care and support system as their needs change. An assessment **must** seek to establish the total extent of needs **before** the county council considers the carer's eligibility for care and support and what types of care and support can help to meet those needs.

### 2.3 Proportionate

This means that the assessment is only as intrusive as it needs to be to establish an accurate picture of the needs of the carer, regardless of whatever method of assessment is used. This will involve:

- both hearing and understanding the initial presenting problem,
- not taking this at 'face value',
- ensuring any underlying needs are also explored and understood,

## 2.4 Eligibility outcomes

The national eligibility criteria set a minimum threshold for carer support needs which the county council **must** meet. These are the outcomes that the eligibility determination should be based on. All local authorities **must** comply with this national threshold. Authorities can also decide to meet needs that are not deemed to be eligible if they chose to do so. See the separate [Eligibility Criteria for Carers and Carer's Budget PPG \[LINK\]](#) for more information.

## 2.5 Fluctuating needs:

Carers with fluctuating needs may have needs which are not apparent at the time of the assessment, but may have arisen in the past and are likely to arise again in the future. Therefore local authorities **must** consider an individual's need over an appropriate period of time to ensure that all of their needs have been accounted for when the eligibility is being determined. The county council **must** also consider how the carer's needs change as a result of the fluctuation in the needs of the person they are caring for. The level of a carer's need can also fluctuate irrespective of whether the needs of the adult for whom they care, fluctuate.

Where fluctuating needs are apparent, this should also be factored into the care plan, detailing the steps the county council will take to meet needs in circumstances where these fluctuate.

## 2.6 Information and Advice

If a carer is provided with care and support, the county council will provide them with information and advice [\[LINK\]](#) about what can be done to prevent, delay, or reduce their needs as part of their care and support plan or support plan. This should also include consideration of the person's strengths and the support from other members of the family, friends or the community.

Information and advice will be provided, in an accessible form, about what can be done to prevent, delay, or reduce development of their needs. Where a person has some needs that are eligible, and also has some other needs that are not deemed to be eligible, the local authority must provide information and advice on services facilities or resources that would contribute to preventing, reducing or delaying the needs which are not eligible, and this should be aligned and be consistent with the care and support plan for the for the carer.

### 3. PROCEDURES

The county council uses Liquidlogic [Adult Social Care System](#) (LAS). It is essential that every effort is made to ensure that all information is logged via LAS with extreme care and accuracy (see LAS Guidance).

#### 3.1 Carer's Assessment

- a) From their very first contact with the county council, a carer with an appearance of need for support will be given as much information as possible about the assessment process in a format that is most appropriate for them.
- b) The county council will undertake an assessment of any carer who appears to have any level of needs for care and support, regardless of whether or not it thinks the person has needs that would make them eligible for services from the council.
- c) The carer's assessment may be combined with the person receiving care and support, as a joint assessment, where both the individual and carer agree, or it may be carried out separately as an individual assessment.
- d) Carers' assessments must seek to establish not only the carer's needs for support, but the sustainability of the caring role itself, which includes both practical and emotional support the carer provides to the adult.
- e) In conducting the carer's assessment the county council will take into account the carer's activities that go beyond their caring responsibilities and the impact of caring upon those activities; work, education, training or recreational activities.
- f) Carers' Assessments completed by the county council will be person-centred throughout, involving the carer and supporting them to have choice and control. The assessment will seek to establish the total extent of needs and will include looking at the impact of the adult's needs on their wellbeing and whether meeting these needs will help the adult achieve their desired outcomes. (For more information about wellbeing see the county council's Wellbeing Policy [LINK].)
- g) The county council has a duty to identify any children who are involved in providing care and make an offer of a young carer's assessment. A young carer's assessment will pay special attention to the following aspects:
  - Reflection on the impact of the person's needs on the young carer's wellbeing; welfare; education; and development;
  - Consideration as to whether any of the caring responsibilities the young carer is undertaking are inappropriate. For example, personal care such as bathing and toileting; carrying out strenuous physical tasks such as lifting; administering medication; maintaining the family budget; and providing emotional support to the adult.

### 3.2 Involvement in the Assessment Process

- a) The county council will start with the premise that the person is the expert in the assessment of their needs and of what their desired outcomes are. We will encourage people to be involved so that the end product is one of co-production.
- b) Our assessment process will be transparent and based on the following steps.
- c) We will help people to:
  - i. develop an understanding of the assessment process and the associated timescales;
  - ii. gain a clear understanding of the implications of the assessment process on their condition(s) and situation;
  - iii. understand their own needs and outcomes they want to achieve to allow them to engage effectively with the assessment process;
  - iv. start to identify the options that are available to them to meet those outcomes and to support their independence and wellbeing;
  - v. understand the basis on which decisions are reached.
- d) The county council will endeavour to establish a person's communication needs and will adapt the assessment process accordingly, seeking a specialist interpreter if appropriate.
- e) We aim to reduce any anxieties caused by considering the person's unique circumstances when arranging the assessment date and we will consider the location; the duration and the time of day. We will also adapt our approach to make the contact person-centred and meaningful.
- f) The county council will ensure that the assessment process is proportionate to each person; we will not take a blanket approach which makes the process too onerous for those with less complex needs. For those who do have complex needs we will aim to work in partnership with other professionals in order to minimise duplication and repetition [LINK to Integration and Partnerships Policy].
- g) Where there is concern about a person's capacity to make a specific decision the county council will make an assessment of capacity according to the Mental Capacity Act (MCA) and the Care Act [LINKs].
- h) We may offer an online or a telephone assessment if the person's needs are less complex or where the person is already known to the county council and the assessment is following a minor change in needs or circumstances.

### 3.3 Involving Others in the Assessment Process

- a) The county council will consider how the carer, their support network and the wider community can all contribute towards meeting the outcomes the carer wants to achieve. We will give regard to how the carer's needs for care and support impacts on their family members or others in their support network. For those identified as experiencing an impact we will provide information and signposting to support services.



### 3.4 Refusal of Assessment

- a) A carer may choose to refuse to have an assessment if they have mental capacity to make that decision.
- b) The county council will complete an assessment of needs if a carer has previously refused an assessment, or if their needs appear to have changed, if we are subsequently requested to do so.
- c) If the county council has assessed a carer as lacking mental capacity and believes that the carer is at risk of abuse or neglect we would be required to carry out an assessment of needs because doing so would be in the carer's best interests whether or not they had refused to have an assessment.

### 3.5 Support Planning

- a) Following the carer's assessment and the determination of eligibility in accordance with the Care Act a support plan will be developed.
- b) The county council will ensure that the plan is person-centred and will take all reasonable steps to agree the plan with the person. The person's goals and aspirations will be taken into account and the level of control over their own care and support will vary according to their preferences and individual abilities.
- c) The county council is legally prohibited from meeting needs by providing or arranging any health service or facility which is required to be provided by the NHS, or under the Housing Act 1996.
- d) The county council is not required to meet non-eligible needs but will provide information and signposting that is pertinent to the person, with a written explanation of why their needs are not being met. Where some needs are eligible and others are not eligible, the plan will clearly record both the eligible and non-eligible needs and who is responsible for meeting each element.
- e) The plan will contain the following information:
  - The needs identified by the assessment;
  - To what extent the needs meet the eligibility criteria;
  - The needs that the personal budget payment will be used to meet and how it will do so;
  - the outcomes the carer wishes to achieve, and their wishes around providing care, work, education and recreation where support could be relevant;
  - The personal budget;



- Information and advice on what can be done to reduce the needs in question, and to prevent, or delay, the development of needs in the future;
- f) The county council will encourage flexibility to allow adjustment and creativity, for example by allowing people to include personal elements into their plan which are important to them (but which we are not under a duty to meet), or by developing the plan in a format that works for the person rather than a standard template.
- g) The county council will take a holistic approach that covers aspects such as the person's wishes and aspirations in their daily and community life, rather than a narrow view purely designed to meet personal care needs.
- h) The county council recognises that on occasions the planning process may bring to light new information that may suggest a safeguarding issue. In such instances, we would instigate a safeguarding enquiry which may, in turn, lead to changes in the plan.

### 3.6 Reviews

- a) The county council recognises that keeping plans under review is an essential element of the planning process. Without a system of regular reviews, plans could become quickly out of date meaning that carers are not obtaining the care and support required to meet their needs. Plans may also identify outcomes that the carer wants to achieve which are progressive or time limited, so a periodic review is vital to ensure that the plan remains relevant to their goals and aspirations.
- b) Planned reviews by the county council will be proportionate to the carer's circumstances and will take into account the value of the personal budget and any risks that were identified at the assessment or support planning stages.
- c) According to the carer's circumstances our reviews will include telephone reviews, online reviews, self-review and face-to-face reviews. The format of the review in all instances will be agreed with the carer or their advocate and it will involve them and any other relevant people identified in the plan.
- d) When carrying out reviews we will make the following considerations:-
  - Have the carer's circumstances and/or care and support or support needs changed?
  - What is working in the plan, what is not working, and what might need to change?
  - Have the outcomes identified in the plan been achieved or not?
  - Does the carer have new outcomes they want to meet?
  - Could improvements be made to achieve better outcomes?

- Is the carer's personal budget enabling them to meet their needs and the outcomes identified in their plan?
- Is the current method of managing it still the best one for what they want to achieve?
- Are there any changes in the carer's informal and community support networks which might impact negatively or positively on the plan?
- Has there been any changes to the carer's needs or circumstances which might mean they are at risk of abuse or neglect?
- Is the carer or independent advocate satisfied with the plan?

### **3.7 Considering a Request for a Review of a Support Plan**

- a) The Care Act places a duty on the county council to conduct a review if a request for one is made by the carer, or a person acting on the carers' behalf. We will provide information and advice in an accessible format to carers at the planning stage, about how to make a request for a review and the timescales involved. Upon receipt of a request we will consider it.
- b) The right to request a review applies not just to the carer, but to others supporting them or interested in their wellbeing. The county council will consider these requests even if they are not made by the carer.
- c) In considering whether to undertake a review, the county council will involve the carer and anyone else the carer requests to be involved where feasible. When there is no appropriate person who can represent or support a carer who has significant difficulty in being fully involved, the county council will consider the duty to provide an independent advocate to support them [LINK].
- d) If the county council makes a decision not to conduct a review following a request we will set out the reasons for not accepting the request in a format that is accessible to the carer. We will also advise the carer of when they can expect to have their next planned review.

### **3.8 Unplanned Reviews**

- a) If there is any information or evidence that suggests that circumstances have changed in a way that may affect the efficacy, appropriateness or content of the plan, the county council will conduct a review promptly to ascertain whether the plan requires revision.
- b) During the review process, the carer, or the person acting on their behalf, will be kept fully involved and informed of what is occurring, the timescales involved and any likely consequences.

### 3.9 Revision of the Support Plan

- a) When revising plans the county council will:
1. Involve the carer and anyone else they want involved and their advocate if they need one.
  2. Support the carer to self-plan the revision whenever possible.
  3. Take into account the carers' capacity to make specific decisions.

### 3.10 Quality Assurance

- a) The county council will ensure that assessments are carried out to the highest quality by staff that have the required skills, knowledge and competence.
- b) The county council will make certain that assessors undergo appropriate training on an ongoing basis.
- c) We recognise that some people's situations are particularly complex and where necessary we will enlist expert support. For example, an interpreter or someone who has specific knowledge of a condition.
- d) The county council will provide carers with a letter stating the outcome of their assessment, or where requested a copy of their assessment, and will share this with others if the carer has asked for this. Where they lack capacity to make the decision to do so we will share the information if it is in their best interest.
- e) Where an independent advocate, an Independent Mental Capacity Advocate or an Independent Mental Health Advocate is involved in supporting the carer [LINK], the county council will keep the advocate informed so that they can support the carer to understand the outcome of the assessment and its implications.

#### 4. DOCUMENT HISTORY

| RELATED DOCUMENTS                          |   |
|--|---|
| OTHER RELATED DOCUMENTS                    | <ul style="list-style-type: none"> <li>• Eligibility Criteria</li> <li>• Assessment of Needs Policy</li> <li>• Continuity of Care Policy</li> <li>• Ordinary Residence Policy</li> <li>• Wellbeing Policy</li> <li>• Information and Advice</li> <li>• Care &amp; Support Planning</li> </ul>   |
| LEGISLATION OR OTHER STATUTORY REGULATIONS | <ul style="list-style-type: none"> <li>• The Care and Support (Eligibility Criteria) Regulations 2014</li> <li>• The Care Act 2014 - Part 1 Assessing Needs Section 13</li> <li>• Chapter 1 Promoting Wellbeing Care Act Statutory Guidance</li> <li>• Chapter 6 Assessment and Eligibility Statutory Guidance</li> <li>• Chapter 19 Ordinary residence Statutory Guidance</li> <li>• Chapter 20 Continuity of care Statutory Guidance</li> </ul> |

# Adult Social Care Policies and Procedures

## ELIGIBILITY CRITERIA FOR CARERS AND CARERS' BUDGETS

**WARNING!** Please note if the review date shown below has passed this procedure may no longer be current and you should check the PPG E Library for the most up to date version

# Contents

## CARER'S ELIGIBILITY CRITERIA AND CARERS BUDGETS

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## POLICY VERSION CONTROL

|   |  |                             |                     |
|---|--|-----------------------------|---------------------|
| <b>POLICY NAME</b>  | <b>Carer's Eligibility Criteria and Carers Budgets</b>   |                             |                     |
| <b>Document Description</b>                                       | <b>This document sets out the county council's response to the Care Act 2014 in regard to determining eligibility for care and support for carers and the budgets assigned to that care and support.</b> |                             |                     |
| <b>Document Owner</b><br>1) Officer, position and contact details | <b>Chris Cote</b>  |                             |                     |
| <b>Document Author(s)</b>   | <b>Natalie Burfitt/Chris Cote/Kieran Curran</b>  | <b>Date</b>                 | <b>17 July 2017</b> |
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| <b>Approved by</b>  |  | <b>Position</b>             |                     |
| <b>Signed</b>   |  | <b>Date Approved</b>        |                     |

### DOCUMENT CHANGE HISTORY

| <b>Version No</b> | <b>Date</b>          | <b>Issues by</b> | <b>Reason for change</b>   |
|-------------------|----------------------|------------------|--|
| <b>0.1</b>        | <b>13 April 2017</b> |                  | <b>General proof reading changes</b>   |
| <b>0.2</b>        | <b>July 2017</b>     |                  | <b>Re-ordering of Procedures section and additional information, new case studies.</b> |
|                   |                      |                  |  |

# 1. POLICY STATEMENT

## Eligibility Criteria

Carers can be eligible for support in their own right – whether or not the adult for whom they care for has eligible needs – and the threshold for support is based on the impact their caring role has on their wellbeing.

Establishing whether or not a person has eligible needs is one of the most important decisions under the Care Act. Therefore there is a separate policy in relation to eligibility for carers.

Local authorities **must** ensure that any carer with an appearance of need for support receives a proportionate assessment [LINK] which identifies their level of needs. This applies whether an individual currently provides or intends to provide care for another adult and is irrespective of their financial situation.

When an adult is found to have care and support needs following a carer's assessment [LINK] under section 10 of the Care Act, the county council **must** determine whether those needs are at a level sufficient to meet the "eligibility criteria" under section 13 of the Act. Sections 18 and 20 of the Act set out the duty of local authorities to meet a carer's needs for support which meet the eligibility criteria.

The Care Act specifies a new national minimum threshold for eligibility (Section 13) for **adults** and which are further detailed in [The Care and Support \(Eligibility Criteria\) Regulations 2015](#). Local authorities are **not** able to restrict their eligibility beyond this.

The national eligibility criteria sets a minimum threshold for adult care and support needs which local authorities must meet. All local authorities **must** comply with this national threshold.

Eligible needs are those which meet the eligibility criteria and which a local authority may be required to meet. The threshold is based on identifying how an individual's needs affect their ability to achieve relevant desired outcomes, and whether as a consequence this has a significant impact on their wellbeing.

This document deals exclusively with carers. For general service users [?] you can access the county council's Eligibility Criteria PPG [LINK].

Improved clarity around eligibility thresholds supports councils in deciding whether the prior provision of information and advice or preventative services would delay a person from developing needs which meet the eligibility criteria or whether longer-term care and support might be needed. It should also help the carer to think more broadly about what support might be available in the local community or through their support network to meet their needs and support the outcomes they want to achieve.

## Carers' Budgets

The county council **must** have regard to the wellbeing principle [LINK] of the Care Act, as the carer may need a break from caring responsibilities to look after their own



physical/mental health and emotional wellbeing, social and economic wellbeing, and to spend time with other members of the family and personal relationships. Whether or not there is a need for replacement care, carers may need support to help them to look after their own wellbeing.

Everyone whose needs are met by the county council, whether those needs are eligible, or if the authority has chosen to meet other needs, **must** receive a personal budget as part of the care and support plan, or support plan [LINK]. The personal budget is an important tool that gives the person clear information regarding the money that has been allocated to meet the needs identified in the assessment [LINK] and recorded in the plan. An indicative amount should be shared with the person, and anybody else involved, at the start of care and support planning, with the final amount of the personal budget confirmed through this process. The detail of how the personal budget will be used is set out in the care and support plan, or support plan. At all times, the wishes of the carer must be considered and respected. For example, the personal budget should not assume that people are forced to accept specific care options against their will because this is perceived to be the cheapest option.

The personal budget **must** always be an amount sufficient to meet the person's care and support needs, and **must** include the cost to the county council of meeting the person's needs which the **county council is under a duty to meet**, or has exercised its power to do so.

Therefore to fulfil its duty under section 13 of the Care Act, the county council will work with its statutory, voluntary and private sector partners in order to comply with the national threshold relating to care and support for carers that is relevant, coherent, timely and sufficient.

The county council will make all reasonable adjustments to ensure that all disabled people have equal access to participate in the eligibility decision in line with the Equality Act 2010.

The geography and population of Lancashire is diverse and our Adult Social Care Policies and practice will aim to deliver services and supports that are representative of the communities in which we work.

The county council will follow the Care Act and other relevant legislation, policies and guidance to ensure our practice is of high quality and legally compliant. Where our customers or those we come into contact with wish to challenge or raise concerns in regard to our decisions, regarding eligibility the county council's complaints procedures will be made available and accessible.

## 2. KEY DEFINITIONS AND PRINCIPLES APPLICABLE TO THIS POLICY

Many of the core aims of the Care Act (particularly its focus on preventing, delaying or reducing the need for care and support) apply equally to individuals **and** their carer's. While this document details the county council's responsibilities around Carer's Eligibility Criteria and Carers Budgets, staff should be aware of other areas of the Act that impact on the role of carers. Where appropriate, we have provided links to relevant Policy, Procedures and Guidelines (PPG) documents and you can consult Section 5 (Document History/Related Documents, page 15) for more information.

### 2.1 Wellbeing

“Wellbeing” is a broad concept under the Act but has particular significance in determining carer's eligibility for support, and it is described as relating to the following areas in particular:

- personal dignity (including treatment of the individual with respect)
- physical and mental health and emotional wellbeing
- protection from abuse and neglect
- control by the individual over day-to-day life (including over care and support provided and the way it is provided)
- participation in work, education, training or recreation
- social and economic wellbeing
- domestic, family and personal
- suitability of living accommodation
- the individual's contribution to society

There is no hierarchy and all should be considered of equal importance when considering “wellbeing” in the round.

### 2.2 Assessment

This is one of the key interactions between the county council and a carer (or indeed the person they care for). The process must be person-centred throughout, involving the carer and supporting them to have choice and control. It starts from when a local authority begins to collect information about the carer, and will be an integral part of the carer's involvement in the care and support system as their needs change. An assessment **must** seek to establish the total extent of needs **before** the local authority considers the carer's eligibility for care and support and what types of care and support can help to meet those needs.

See the separate [Carers Assessment PPG \[LINK\]](#) for more information.

### 2.3 Proportionate

This means that the assessment is only as intrusive as it needs to be to establish an accurate picture of the needs of the carer, regardless of whatever method of assessment is used. This will involve:

- both hearing and understanding the initial presenting problem,
- not taking this at 'face value',
- ensuring any underlying needs are also explored and understood.

## 2.4 Eligibility outcomes

The national eligibility criteria set a minimum threshold for carer support needs which the county council **must** meet. These are the outcomes that the eligibility determination should be based on. All local authorities **must** comply with this national threshold. Councils can also decide to meet needs that are not deemed to be eligible if they chose to do so.

## 2.5 Fluctuating needs

Carers with fluctuating needs may have needs which are not apparent at the time of the assessment, but may have arisen in the past and are likely to arise again in the future. Therefore local authorities **must** consider an individual's need over an appropriate period of time to ensure that all of their needs have been accounted for when the eligibility is being determined. The county council **must** also consider how the carer's needs change as a result of the fluctuation in the needs of the person they are caring for. The level of a carer's need can also fluctuate irrespective of whether the needs of the adult for whom they care, fluctuate.

Where fluctuating needs are apparent, this should also be factored into the care plan, detailing the steps the county council will take to meet needs in circumstances where these fluctuate.

## 2.6 Information and Advice

If a carer is provided with care and support, the county council will provide them with information and advice [LINK] about what can be done to prevent, delay, or reduce their needs as part of their care and support plan or support plan. This should also include consideration of the carer's strengths and the support from other members of the family, friends or the community.

Information and advice will be provided, in an accessible form, about what can be done to prevent, delay, or reduce development of their needs. Where a carer has some needs that are eligible, and also has some other needs that are not deemed to be eligible, the local authority must provide information and advice on services facilities or resources that would contribute to preventing, reducing or delaying the needs which are not eligible, and this should be aligned and be consistent with the care and support plan for the carer.

### 3. PROCEDURES

#### 3.1 Eligibility for carers

The national eligibility threshold for carers is set out in the [Care and Support \(Eligibility Criteria\) Regulations 2015](#). The threshold is based on the impact that a carer's needs for support has on their wellbeing. The determination should be made without consideration of whether or not the adult the carer cares for has eligible needs themselves.

Carers can be eligible for support whether or not the person for whom they care has eligible needs. The eligibility determination must be made based on the carer's needs and how these impact on their wellbeing. We will consider that a carer has **eligible needs** if they **meet the following three criteria**:

1. The needs arise as a consequence of providing necessary care for the person;
2. The effect of the carer's needs is that any of the circumstances specified in the Eligibility Regulations apply to the carer:
  - They are unable to achieve an outcome without assistance;
  - They are able to achieve an outcome without assistance, but doing so causes or is likely to cause significant pain, distress or anxiety or endangers them;
  - They are able to achieve the outcome without assistance but doing so is likely to endanger the health or safety of the carer or any adults or children for whom the carer provides care.
3. As a consequence of that fact there is, or there is likely to be, a significant impact on the carer's wellbeing.

#### 3.2 Interpreting the carers' eligibility criteria

##### Step 1 - Needs

The **first condition** is that the carer **must** be providing necessary care. If the carer is providing care and support for needs which the adult is capable of meeting themselves, the carer may not be providing necessary support. In such cases, you should provide information and advice [LINK] to the adult and carer about how the adult can use their own strengths or services available in the community to meet their needs.

##### Step 2 - Outcomes

The **second condition** that authorities **must** consider is whether the carer's physical or mental health is either deteriorating or is at risk of doing so, or whether the carer is unable to achieve any of the following outcomes:

- a) **Carrying out any caring responsibilities the carer has for a child** – the county council will consider any parenting or other caring responsibilities the carer has for a child in addition to their caring role for the person. For example, the carer might be a grandparent with caring responsibilities for their grandchildren while the grandchildren's parents are at work.
- b) **Providing care to other persons for whom the carer provides care** – the county council will consider any additional caring responsibilities the carer may have for other adults. For example, a carer may also have caring responsibilities for a parent in addition to caring for the adult with care and support needs.
- c) **Maintaining a habitable home environment** - the county council will consider whether the condition of the carer's home is safe and an appropriate environment to live in and whether it presents a significant risk to the carer's wellbeing. A habitable home should be safe and have essential amenities such as water, electricity and gas.
- d) **Managing and maintaining nutrition** – The county council will consider whether the carer has the time to do essential shopping and to prepare meals for themselves and their family.
- e) **Developing and maintaining family or other significant personal relationships** – the county council will consider whether the carer is in a position where their caring role prevents them from maintaining key relationships with family and friends or from developing new relationships where the carer does not already have other personal relationships.
- f) **Engaging in work, training, education or volunteering** – the county council will consider whether the carer can continue in their job, and contribute to society, apply themselves in education, volunteer to support civil society or have the opportunity to get a job, if they are not in employment.
- g) **Making use of necessary facilities or services in the local community** – the county council will consider whether the carer has an opportunity to make use of the local community's services and facilities and for example consider whether the carer has time to use recreational facilities such as gyms or swimming pools.
- h) **Engaging in recreational activities** – the county council will consider whether the carer has leisure time, for example some free time to read or engage in a hobby.

### **What is the regulatory meaning of "being unable" to achieve outcomes?**

Be aware that "being unable" to achieve outcomes includes circumstances where the carer is:

- Unable to achieve the outcome without assistance. This includes where the carer would be unable to achieve an outcome even if assistance were provided.

A carer might, for example, be unable to fulfill their parental responsibilities unless they receive support in their caring role.

- Able to achieve the outcome without assistance, but doing so causes or is likely to cause significant pain, distress or anxiety. A carer might, for example, be able to care for the adult and undertake fulltime employment, but if doing both causes the carer significant distress, the carer should not be considered able to engage in employment.
- Able to achieve the outcome without assistance but doing so is likely to endanger the health or safety of the carer or any adults or children for whom the carer provides care. A carer might, for example, be able to provide care for their family and deliver necessary care for the adult, but, where this endangers the adult with care and support needs, for example, because the adult receiving care would have to be left alone while other responsibilities are met, the carer should not be considered able to meet the outcome of caring for their family.

### **Do any of the circumstances specified in the Eligibility Regulations apply to the carer?**

You must consider whether the carer is able to achieve these outcomes or if they are unable to achieve any of the outcomes.

When eligibility is being considered we will consider a carer's needs over an appropriate period of time, to ensure that all of their needs have been accounted for, and in recognition that the needs of a person or carer may fluctuate.

The carer will have eligible needs met if they are unable to achieve any of these outcomes and as a result there is, or there is likely to be, a significant impact on their wellbeing.

When the eligibility determination has been made the county council will provide the carer with a copy of their assessment if requested, and a letter stating the eligibility determination.

### **Step 3 – Impact on Wellbeing**

The **third condition** that **must** be met is that the county council **must** consider whether the carer's needs and their inability to achieve the outcomes above present a significant impact on the carer's wellbeing (see paragraph 2.1 on page 4 for a definition of wellbeing under the Care Act).

You should consider whether:

- The carer's needs and inability to achieve the outcomes impact on an area of the carer's wellbeing in a significant way.
- The impact on a number of the areas of wellbeing is such that they have a significant impact on an adult's overall wellbeing (please note that the term "significant" takes its everyday meaning – it is not defined by the Act or its regulations).

**Do the carer's needs and their inability to achieve the outcomes have an important, consequential effect on their daily lives, their independence and their own wellbeing?**

Try to understand the carer's needs in the context of what is important to them. The impact of needs may affect different carers differently, because what is important to the individual's wellbeing may not be the same in all cases. Circumstances which create a significant impact on the wellbeing of one individual may not have the same effect on another.

### 3.3 Carers' Eligibility Decision Process

The following table summarises the steps required when assessing a carers' eligibility:

|   |
|---|
| <p><b>Step 1 – Needs</b></p> <p>The needs arise as a consequence of providing necessary care to an adult, and the carer is 'unable' to achieve the following:</p>   |
| <p><b>Step 2 – Outcomes</b></p> <p>As a result of the carer's needs, either:</p> <ul style="list-style-type: none"> <li>• the carer's physical; or mental health is, or is at risk of, deteriorating</li> <li>• the carer is unable to achieve any of the following outcomes: <ul style="list-style-type: none"> <li>○ carrying out any caring responsibilities the carer has for a child</li> <li>○ providing care to other persons for whom the carer provides care</li> <li>○ maintaining a habitable home environment</li> <li>○ managing and maintaining nutrition</li> <li>○ developing and maintaining family or other significant personal relationships</li> <li>○ accessing and engaging in work, training, education or volunteering</li> <li>○ making use of necessary facilities or services in the local community including recreational facilities or services</li> <li>○ engaging in recreational activities</li> </ul> </li> <li>• control by the individual over day-to-day life (including over care and support provided and the way it is provided)</li> <li>• participation in work, education, training or recreation</li> <li>• social and economic wellbeing</li> <li>• domestic, family and personal relationships</li> <li>• suitability of living accommodation</li> <li>• the individual's contribution to society</li> </ul> |
| <p><b>Step 3 – Impact on Wellbeing</b></p> <p>As a consequence, there is or is likely to be a significant impact on the carer's wellbeing, including:</p> <ul style="list-style-type: none"> <li>• personal dignity (including treatment of the individual with respect)</li> <li>• physical and mental health and emotional wellbeing</li> <li>• protection from abuse and neglect</li> </ul>  |



### 3.4 What happens after the eligibility determination?

When the eligibility determination has been made, the county council will provide the carer with support needs with a copy of their decision.

Where the carer is found to *have no eligible needs*, the county council **must** provide information and advice [LINK] on what can be done to meet or reduce the needs (for example what support might be available in the community to help the carer) and what can be done to prevent or delay the development of needs in the future.

If the carer has some eligible needs, the county council **must**:

- Agree with the carer which of their needs they would like the county council to meet. The person may not wish to have support in relation to all their needs – they may, for example, intend to arrange alternative services themselves to meet some needs. Others may not wish for the county council to meet any of their needs, but approach us only for the purposes of determining eligible needs.
- Consider how the county council may meet those needs. This does not replace or pre-empt the care and support planning process [LINK], but is an early consideration of the potential support options, in order to determine whether some of those may be services for which the county council makes a charge. Where that is the case, the county council must carry out a financial assessment [LINK] however, the county council has agreed to waive its powers to financially assess and/or impose charges on carers (please see Policy for Undertaking Assessments and Providing Support for Carers in Lancashire [LINK TO cabinet paper January 2015]).
- Establish whether the carer meets the ordinary residence [LINK] requirement. This applies differently for adults with care and support needs and for carers. In the case of the adult, they must be ordinarily resident in the county council's area. In the case of the carer, the person for whom they care must be ordinarily resident in the county council's area. This is because carers' needs are met by local authorities where the adult with the needs for care and support lives, not the authority where the carer lives. Determining ordinary residence at this stage should not lead to a delay in meeting eligible needs. See the PPG document on Ordinary Residence for more information [LINK].

Following the eligibility determination, if eligible, the carer will receive a personal budget as part of their support plan. It is an important tool that gives people clear information regarding the money that has been allocated to meet the needs identified in their assessment and recorded in their plan.

The county council will share an indicative budget with the carer at the start of the support planning process to help the carer develop the plan and make appropriate choices over how their needs are met, with the final amount of the budget confirmed through this process. The detail of how the budget will be used must be set out in the plan.



The county council will ensure that the personal budget is always a sufficient amount to meet the carer's support needs. The final annual carer budget must only be for the cost of the remaining unmet needs that cannot be met by universal preventative services, such as information and advice [LINK], and/or care and support that is, or will be provided, to the person that they care for, such as respite.

The county council has a consistent method for calculating carer budgets that provides an early indication of the appropriate amount to meet the identified needs at the beginning of the support planning process.

#### 4. CASE STUDIES

These case studies demonstrate examples of how eligibility determinations may be made. The purpose of these case studies is to illustrate eligibility on the basis of significant impact on wellbeing where the carer has needs caused by providing necessary care. Significant impact on wellbeing is personal, so although two people are in similar circumstances, the impact on their wellbeing is different.

##### Case Study 1: Deirdre (not eligible)

###### Step 1 - Needs

Deirdre is 58 and has caring responsibilities for her neighbour with COPD. Deirdre has been coping with her caring responsibilities for 6 years, which include checking in on her neighbour, doing her shopping and cleaning and helping her with the cooking every other day.

Deirdre works 20 hours a week at the local school and she is also helping her daughter by picking up her grandchild after school. Deirdre's son is concerned that she is taking on too much and notices that she is tired. Deirdre's son persuades her to ask the local authority for a carer's assessment.

###### Step 2 – Outcomes

Deirdre enjoys the variety that her working life and caring role provide. She would like to be able to spend more time with her grandchild in the afternoons but recognises that there is a balance between doing this and caring for her neighbour. Deirdre's needs impact on the following outcomes:

- carrying out caring responsibilities the carer has for a child
- engaging in recreational activities

###### Step 3 - Impact on wellbeing

Deirdre's needs are impacting on a few outcomes: Deirdre enjoys her caring responsibility for her grandchild and would like more free time. On the other hand, her caring roles are fulfilling so although Deirdre is tired at the end of the day, her local council does not think her wellbeing is significantly affected.

###### Decision: Not Eligible

The local authority decides that Deirdre is not eligible because her wellbeing is not significantly affected.

**Next actions:** The local authority recognises that Deirdre could do with some advice to help her manage her day so that she can find some time for herself and so she does not get tired. They advise on how she may reduce some of her tasks such as sitting down with her neighbour to order their food shopping online rather than carrying them home. They make contact with a local carers organisation and the local authority makes sure Deirdre is able to access it. The organisation is able to provide additional advice.

### **Case Study 2: Sam (eligible)**

#### **Step 1 - Needs**

Sam is 38 and cares for his mother who has early-stage dementia. Sam's mother has telecare [LINK], but he still checks in on her daily, and does her shopping, cooking and laundry. Sam is a divorced father of two children, who live with him every other week. Sam works fulltime in an IT company and has come forward for an assessment as he is starting to feel unable to cope with his various responsibilities in the weeks when he looks after his children. Sam has made an arrangement with his employer that he can work longer hours on the weeks when the children are with their mother and fewer when he has the children.

#### **Step 2 - Outcomes**

Sam wants to spend more time with his children and, for instance, to be able to free up an hour in the afternoon to help them with their homework so it doesn't have to be done in the evening when the children are tired. Sam's needs impact on the following outcomes:

- carrying out caring responsibilities the carer has for a child
- engaging in recreational activities

#### **Step 3 - Impact on wellbeing**

Sam's responsibilities impact on a few important outcomes. Sam is starting to feel like he is failing as a parent and it affects the relationship he has with his children, his ex-wife, and his mother. He also worries that his ability to stay in work would be in jeopardy unless he receives support. Sam seems quite stressed and anxious.

#### **Decision: Eligible**

The local authority decides that Sam's fluctuating needs are eligible for support, because it perceives that they have a significant impact on his wellbeing. If the local authority supports Sam to maintain his current role, everyone is better off, because Sam can stay in employment, sustain his family relationships and provide security for his mother.

**Next actions:** The local authority gives Sam a direct payment [LINK] which he uses to pay for a care worker to come in for three days every other week to check on his mother and make her a meal. This gives Sam more time to spend with his children, doing homework with them and spending some more relaxed time with them.

The local authority directs Sam to a carers organisation which provides Sam with information about his rights at work and how to speak to his employers.

The following examples demonstrate how a carers budget can be spent:

**Example 1: Conor**

Conor has been caring for his wife, who is in a wheelchair with ME and arthritis, for the last 9 years. He does all the cooking, driving and general household duties for their household. Conor received a personal budget which he requested in the form of a direct payment from his local authority for a laptop to enable him to be in more regular contact through Skype with family in the US. This now enables Conor to stay connected with family he cannot afford to fly and see. This family support helps Connor with his ongoing caring role.

**Example 2: Divya**

Divya has 4 young children and provides care for her father who is nearing the end of his life. Her father receives a direct payment, which he used to pay a family member for a period of time to give his daughter a break from her caring role. Divya received a carers' direct payment, which she uses for her children to attend summer play schemes so that she get some free time to meet with friends and socialise when the family member provides care to her father. This gives Divya regular breaks from caring which are important to the family unit.

## 5. DOCUMENT HISTORY

| RELATED DOCUMENTS                          |  |
|--|--|
| OTHER RELATED PPG DOCUMENTS                | <ul style="list-style-type: none"> <li>• Carers' Assessments</li> <li>• Eligibility Criteria</li> <li>• Assessment of Needs</li> <li>• Continuity of Care</li> <li>• Ordinary Residence</li> <li>• Wellbeing</li> <li>• Information &amp; Advice</li> <li>• Care &amp; Support Planning</li> <li>• Financial Assessment and Charging Policy</li> <li>• Direct Payments</li> <li>• Telecare</li> <li>• Respite</li> </ul> <p><b>NB. Links will be inserted as policies are approved and published online.</b></p> |
| LEGISLATION OR OTHER STATUTORY REGULATIONS | <ul style="list-style-type: none"> <li>• <a href="#">The Care and Support (Eligibility Criteria) Regulations 2015</a></li> <li>• The Care Act 2014 - Part 1 Assessing Needs Section 13</li> <li>• Chapter 1 Promoting Wellbeing Care Act Statutory Guidance</li> <li>• Chapter 6 Assessment and Eligibility Statutory Guidance</li> <li>• Chapter 19 Ordinary residence Statutory Guidance</li> <li>• Chapter 20 Continuity of care Statutory Guidance</li> </ul>  |

# Adult Social Care Policies and Procedures

## REABLEMENT

**WARNING!** Please note if the review date shown below has passed this procedure may no longer be current and you should check the PPG E Library for the most up to date version

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## REABLEMENT

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## POLICY VERSION CONTROL

| <b>POLICY NAME</b>  | Reablement   |                             |  |
|---|--|-----------------------------|--|
| <b>Document Description</b>                                       | This document sets out the Council's relevant duties under the Care Act and its response to the Care Act 2014 in regard to Reablement. |                             |  |
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| Version No  | Date   | Issues by                   | Reason for change                                  |
| 0.2   | July 2017  | Various                     | Final updates and additions from Programme Manual. |
|   |  |                             |  |
|   |  |                             |  |

## 1. POLICY STATEMENT

*“People using Reablement experience greater improvements in physical functioning, health-related quality of life and social care outcomes compared with people using standard home care.”*

[Social Care Institute for Excellence](#)

Reablement is a short-term service designed to help people develop the confidence and skills they need to live as independently as they can. Reablement can help to prevent or delay the need for health and social care by supporting people to develop, retain or regain the skills necessary for independent living and active involvement in their local community.

**Reablement should be the first choice for any service user** to get them back to or better than their "baseline level" of independence.

Where reablement is provided to those who require it, it must be provided free of charge for a period of up to six weeks. This is for all adults, irrespective of whether they have eligible needs for ongoing care and support. Although reablement will usually be provided as a preventative measure under section 2 of the Care Act, it can also be provided as part of a package of care and support to meet eligible needs. In such cases, the regulations also provide that reablement cannot be charged for in the first six weeks, to ensure consistency.

While reablement is a time-limited intervention, it should **not have a strict time limit**, since the period of time for which the support is provided should depend on the needs and outcomes of the individual.

It is important that people are not removed from the reablement "process" too early. Early or targeted interventions such as a period of reablement, or providing equipment or minor household adaptations, can delay or even prevent an adult's needs from worsening. The first contact with the county council, which triggers the requirement to assess [LINK], may lead to a pause in the assessment process to allow such interventions to take place and for any benefit to the adult to be determined. County council staff should be sufficiently trained and equipped to make the appropriate judgements needed to steer individuals seeking support towards information and advice [LINK], preventative services or a more detailed care and support assessment, or all of these. They must also be able to identify a person who may lack mental capacity and to act accordingly [LINK].

[The Care and Support \(Personal Budget Exclusion of Costs\) Regulations 2015](#) sets out that the provision of reablement services, for which the county council cannot or chooses not to make a charge must be excluded from the personal budget. This will mean that where reablement is being provided to meet needs (i.e. under section 18, 19 or 20 of the Act) the cost of this must not be included in the personal budget.

In cases where reablement is provided to meet needs under section 18 or 20(1) or under section 19(1) or 20(6), either in isolation or combined with longer-term care and support, the care and support plan should describe what the package consists of and how long it will last. This will help the person understand what is being provided to



meet their needs. However, the person should not receive a personal budget, unless there are other forms of care and support being provided under these sections. In these cases, the personal budget amount must not include the cost of intermediate care/reablement which are provided free of charge.

As always under the Care Act, it is never appropriate to take a one-size-fits-all approach, and local authorities need to ensure that individual needs are met appropriately.

Therefore to fulfil its duty under sections 18, 19 and 20 of the Care Act, the county council will, working with its statutory, voluntary and private sector partners, comply with the duty to provide reablement services.

The county council will make all reasonable adjustments to ensure that all disabled people have equal access to participate in the eligibility decision in line with the Equality Act 2010.

The geography and population of Lancashire is diverse and our Adult Social Care Policies and practice will aim to deliver services and supports that are representative of the communities in which we work.

The county council will follow the Care Act and other relevant legislation, policies and guidance to ensure our practice is of high quality and legally compliant. Where our customers or those we come into contact with wish to challenge or raise concerns in regard to our decisions, regarding eligibility the county council's complaints procedures will be made available and accessible.

## **2. KEY DEFINITIONS AND PRINCIPLES APPLICABLE TO THIS POLICY**

### **2.1 Intermediate Care**

Intermediate care is an umbrella term describing different types of care provided for a limited period of time to assist a person to maintain or regain the ability to live independently. These types of care provide a crucial link between hospitals and people's homes, and between different areas of the health and care and support system such as community services, hospitals, GPs and social care.

Reablement is a particular type of Intermediate Care but there is a tendency for the terms 'reablement', 'rehabilitation' and 'intermediate care' to be used interchangeably. [The National Audit of Intermediate Care](#) categorises 4 types of intermediate care:

- Crisis response – services providing short-term care (up to 72 hours)
- Home-based intermediate care – services provided to people in their own homes by a team with different specialties but mainly health professionals such as nurses and therapists
- Bed-based intermediate care – services delivered away from home, for example, in a community hospital

- **Reablement** – services to help people live independently which are provided in the person's own home by a team of mainly care and support professionals

Intermediate care services – which *includes* reablement – are provided to people, usually older people, after they have left hospital or when they are at risk of being sent to hospital.

Three of the 4 types of intermediate care (crisis response, home-based intermediate care and bed-based intermediate care) have historically been clinician-led and provided by health staff, with reablement being provided by local authorities.

However, these are not concrete, mutually-exclusive categories and, furthermore, with greater integration and co-operation between health and local authorities there should be greater use of qualified staff from health and social care working together to provide all forms of intermediate care.

## 2.2 Reablement

Reablement is a particular type of intermediate care, which has a stronger focus on helping a person return to a "baseline" by enabling them to regain skills and capabilities, reduce their care needs and promote levels of independence, in particular through therapy intervention or via the provision of aids and adaptations.

### **Reablement works across four key areas to improve a person's independence:**

**Performance:** Improving someone's ability to meet their needs e.g. assisting someone with mobility exercises or meal preparation.

**Confidence:** Building someone's confidence to do things in a safe way e.g. making sure they are confident getting in and out of the shower safely.

**Occupation:** Using other techniques for doing everyday tasks e.g. learning to get dressed with limited mobility.

**Environment:** Adapting someone's environment so it meets their needs better e.g. providing equipment like transfer boards or a bath lift.

### 3. PROCEDURES

#### 3.1. Thinking "Reablement First"

People function best when they are in an environment they are familiar with and happy in. For most people, that environment is at home. Reablement is a unique opportunity for someone to improve their independence while living at home. Importantly, it can prevent reliance on longer-term packages of care. Reablement also helps:

- Prevent deterioration
- Prevent hospital admission
- Prevent admission to residential care
- Support timely discharge from hospital
- Assist with management of long term conditions
- Prevent or reduce the need for long term domiciliary support.

Reablement should be seen as the first choice for any individual to return them to (or exceed) their baseline level of independence.

#### 3.2 Who can be referred for Reablement?

Reablement is for people who have Care Act eligible needs [LINK] or who are at risk of developing them.

#### 3.3 Who may not be suitable?

**People with severe cognitive impairment.** However, if they have been assessed in an unfamiliar setting or immediately after returning home, the person should be referred so they can be assessed at home. Reablement can still be appropriate if the person is able to meet their needs when prompted.

**People who need end of life care, unless there are identifiable goals to improve their independence:** People who are in the final few months of life (i.e. in the "Increasing Decline" stage of the [End of Life Care Model](#)). People at earlier stages of the model should still be considered for Reablement).

**People who need specialist therapeutic intervention** For example, specialist rehabilitation, or Acquired Brain Injury (ABI) rehabilitation.

**People who do not intend to engage with the service who have had reasonable opportunity to understand its benefits.**

If you are not sure whether the service is suitable for someone, get in touch with one of the points of contact for your area (East: ICAT, North & Central: LCC Reablement team)

### 3.4 How to talk to service users about Reablement

Use these simple explanations to help someone understand what Reablement is and how it can benefit them.

#### What is Reablement?

Reablement is a short term service to improve independence and confidence living at home. It is about helping the individual do things for themselves and not having them done for the individual. The initial assessment [LINK] will determine whether or not Reablement is right for the individual.

#### How long does it last for?

Typically 2-3 weeks. The actual length of time depends on the individual's assessment and progression towards their goals.

#### But I heard that I'll get six weeks of support at home.

It's possible, but only if it's right for the individual. Service length depends on individual needs and progression towards specific goals.

#### How could it help me?

Reablement areas of support include:

- Personal care, like getting dressed and washed
- Practical support, like help with meal preparation, making beds, and washing the dishes
- Medication management, to help ensure the individual is taking the right dose at the right time
- Ensuring a safe home environment
- Reducing the risk of falls around the home
- Helping people to learn to use equipment and assistive technology
- Mobility and transfers
- Improving confidence with everyday tasks like grocery shopping
- Exploring what is available in the local community, like lunch clubs
- Supporting exercise plans to help regain mobility and strength
- Providing information about other services that can support the individual

### 3.5 What does a good referral look like?

There are six key elements of a good Reablement referral.

1. The individual meets **referral criteria** (see Section 3.2, above).
2. The individual and their family understands **what Reablement is**, and isn't.
3. Clear goals have been set and agreed with the individual.
4. The number of visits is appropriate for the level of need.
5. The referral has the right level of detail
6. The service user has been given a copy of the Reablement Guide [LINK]

Staff should also be aware of the following guidelines regarding Reablement referrals:

- Use a strengths-based approach. Identify what is important to the individual, what they would like to improve and what they can do already.
- Identify goals, based on eligible needs or areas where the person is at risk of developing an eligible need.
- Understand the specifics – what are the tasks involved with meeting those needs? Can the individual perform some of the task but not all of it? Is it confidence or capability?
- Identify the steps to reach the goal.
- Capture the detail in the referral. e.g. “improve ability to transfer from wheelchair into arm chair. Goal to improve confidence during transfers when there is no one to supervise the transfer” rather than “improve ability transferring”.
- There is limited capacity within the service and demand must be managed. Putting in a package of Reablement that is too high deprives someone else of the support they need.
- Where possible, match each goal to a visit (e.g. getting dressed would be the morning visit).
- Requests for a specific gender for a visit must be understood in terms of whether the request is a necessity or a preference, and which visits it applies to (e.g. female Reablement Assistant required for personal care visits due to history of domestic abuse).
- Only specify the exact time of the visit if the individual requires assistance taking their medication at a specific time of the day, and make this clear in the referral. Otherwise use the booking slots.
- Ensure the service user and family understand that not all requests can be guaranteed.

### **3.6 The referral process**

#### **3.6.1 Referrals in the East**

Referrals will be sent to ICAT (triage) who will act as the single point of access for the Reablement Service in the East. Referrals will be triaged for Reablement potential, with an Occupational Therapist (OT) responsible for ensuring that all referrals are appropriate.

If a referral does not have Reablement potential, the referral is rejected and the referrer notified within 2 hours of the referral being made.

If a referral does have Reablement, potential, ICAT will pass the referral onto Care Navigation who look to source a Reablement provision by contacting the area provider with the individual’s requirements. The provider has 1 hour to respond to the request.

If the provider does not have capacity to start Reablement within the expected time frame (1 day for urgent referrals, and 3 days for non-urgent referrals) the provider has to reject the referral with a future start date offered and the individual will receive an alternative service until there is Reablement capacity.

If the provider is able to accept the Reablement provision, Care Navigation updates LAS and sends a case note to ICAT who will send a case note to the referral source and send the Case and Reablement plan to the Reablement team.

### **3.6.2 Referrals in North and Central**

There is no triage point in these areas so the referrer will need to complete the Reablement plan with clear, achievable goals (as set out in section 3.3) and send to Care Navigation to source the Reablement provision. The provider has 1 hour to respond to the request.

If the provider does not have capacity to start Reablement within the expected time frame (1 day for urgent referrals, and 3 days for non-urgent referrals) the provider has to reject the referral with a future start date offered and the individual will receive an alternative service until there is Reablement capacity.

If the provider is able to accept the Reablement provision, Care Navigation updates LAS and sends a case note to the referral source. The case and Reablement plan will be sent to the Reablement team by the referrer.

### **3.7 Case Allocations**

The Business Support Officer (BSO) in the Reablement team receives the case and the Reablement Plan pending review task in the Reablement work tray. The BSO adds the case to the allocation tracker. The number of allocations for each Social Care Support Officer (SCSO) will have been agreed with the OT Team Manager. The BSO will allocate the agreed number of cases to each SCSO taking into account the areas worked (these will be predefined) unless the Senior OT/OT Team Manager specifies otherwise.

The BSO will contact the service user to arrange an initial visit that is suitable for them and the allocated SCSO, ensuring it is within 72 hours of the start of Reablement. This initial visit will be booked into the SCSOs Outlook calendar into the predefined slot. The Service User's LAS number will be entered into the time slot so the SCSO knows which service user they are seeing. The Case and Reablement Plan Pending Review task will be assigned to the SCSO's work tray. The BSO will also send a weekly copy of the allocation tracker to the Provider.

### **3.8 Initial Visit and 2-week review**

Once the case has been allocated, the SCSO has 72 hours to conduct the Initial Visit, where the SCSO will explain the service to the individual and hand write the agreed goals onto the first version of the Reablement Plan. The SCSO will leave this hand written plan in the individual's home.

There may be occasions where the 72 hours target is missed. These cases should be scheduled for an initial visit as soon as possible. These cases will be reviewed by the OT Team Manager to identify the reason why the target has been missed and this will be fed back to the team, the referrers, Care Navigation and the Reablement and Occupational Therapy Manager at the Performance Review Meetings.

While at the initial visit, the SCSO will book in a 2-week review with the service user. There may be some goals that require a review before this time and these should take place. It may be that these are telephone reviews and not face to face. If there are goals that will require a review after 2 weeks, the 2 week review should nevertheless still be booked in as this face-to-face intervention may indicate an unexpected change in the package. The review will be entered into the Outlook calendar into the predefined timeslots.

### **3.9 Typing up the revised Reablement Plan**

The SCSO types up the Reablement paperwork including an updated Reablement plan following input from the OT team if appropriate. Once this paperwork has been completed, the SCSO returns this paperwork to the provider, and the provider ensures that the updated Reablement plan is placed in the individual's home.

Each week the provider should provide feedback to the team mailbox on each individual's progress against their Reablement goals. The provider should return this feedback at least 24 hours before the Case Progression Meeting.

### **3.10 Daily Catch Ups**

The daily catch-up call will take place between the Senior OT and their SCSOs on a one-to-one basis over the phone. The SCSO will briefly summarise their day including the Initial Visits (IVs) planned for that day, any issues and request any support that they feel they may need. The Senior OT should check on the case load of the SCSO and their capacity, allowing more cases to be allocated if appropriate. The Senior OT will also offer guidance on any immediate actions needed. There will also be an update on any service users that the SCSO deems likely to require ongoing support following Reablement. The Senior OT should make a note of these for the Case Progression meeting and the SCSO should bring an update for these to the Case Progression Meeting.

### **3.11 Weekly Team Meetings**

On Wednesdays the team will have their Case Progression Meetings and Continuous Improvement Meetings. This will be the one day that all team members will be required to be in the office. These meetings give the team an opportunity to consider blockers to outcomes for their service users and form solutions to these blockers. It also gives them protected time to consider their own wellbeing as individuals and a team and work together to make changes and improvements where required.

The meeting is also an opportunity to discuss all service users currently on the service that are likely to require ongoing support following Reablement, and to support colleagues to problem solve specific issues and achieve the best outcomes for each service user. Following the weekly meeting, the SCSOs may update the Reablement



support plans and the Provider (present at the meeting) will instruct and guide their Reablement Assistants (RAs) following the decisions made at the meeting. The BSO will keep the action/decision tracker updated at each meeting. The outstanding actions will be reviewed and updated by the Senior OT/OT Team Manager prior to the next meeting.

### **3.12 Role of the Reablement Assistants (RA) and Reablement Officers (RO)**

If a service user's Reablement goals have changed following a Case Progression meeting, it is the responsibility of the RO to ensure that the RA is delivering the revised Reablement goals. It is also the responsibility of the RO to get feedback from the RAs and on occasions this may include calling the RA for feedback.

Once the RAs identify that the service user is achieving their Reablement Goals (written in the support plans that they are following) they inform the Provider Team Manager that the individual is ready to finish with the service. They also inform the BSO via the Reablement team mailbox that the service user is independent. The BSO informs the SCSO that the service user is independent and some action is required. The SCSO must conduct the final review within 72 hours of notification (the provider could also inform the SCSO that the individual is due a Final Review during the Case Progression meeting). If the individual has been expected to be independent following Reablement, and that is still the case, the provider is able to cease Reablement and inform the SCSO and Care Navigation that the service has ended.

### **3.13 The Final Review**

Before the Final Review, the individual will have been discussed at the weekly Case Progression meeting and the ideal outcome agreed upon with the rest of the team (if this has not happened, the SCSO must discuss the expected outcome with the Senior OT ahead of the final review).

The final review (conducted within 72 hours of notification) is completed, and any ongoing support is sent to the Senior OT for authorisation. The Senior OT, who has oversight of all cases expected to require ongoing care from the Daily Catch ups and Case Progression Meetings, authorises all packages of care that are as expected. For any packages of care that are unexpected, the Senior OT contacts the SCSO to understand why this was the case. The Senior OT and SCSO must review if the outcome was ideal and, if not, record the reason on the final review tab on the Reablement Plan, and if Reablement could have been better deployed. This is important as LAS collects the issues and these can be addressed in the Continuous Improvement Meeting so that the service can be improved for future service users. It may be necessary to review the package of care with the SCSO, Provider and Senior OT in a specific case review meeting to ascertain the best way forward.

Once the Senior OT has authorised the package of care, it is forwarded to Care Navigation to source the ongoing support. Once support is found, the Provider, individual, SCSO and community team are informed of the Reablement end date and new care package start date and the systems are updated. The BSO will be informed by the SCSO that a case closure has happened. The BSO will then update the allocation tracker.



## 4. CASE STUDIES

**Case Study 1:** A 95 year old lady was referred following the onset of an illness affecting her balance. After a short period of Crisis Support she was referred to Reablement, with the aim of getting her back to being fully independent. In particular, she had lost a lot of confidence in following her daily routine. She was struggling to meet her needs in the kitchen, dressing herself, and showering. Starting with a strengths-based approach and functional assessment of her needs, she worked with the Reablement Assistants to gradually regain her confidence and independence over four weeks.

Using regular feedback from the provider, her social care worker ensured that her goals were met, in all areas except showering. At the end of Reablement she had a follow-on package of care of one hour a week to help meet her ongoing needs.

**Case Study 2:** A 74 year old lady was referred following admission to hospital for an operation on her colon. She had been fully independent previously, but had lost some of her strength and mobility over her time in hospital. When she was referred, she wasn't able to meet her needs for personal care, getting dressed, meal preparation and getting to the shops. But she was very keen to regain her independence. A detailed Reablement plan was quickly put in place, and soon she began regaining confidence in dressing herself and preparing meals. Improving the way goals are identified and support plans are written allows the county council to work more responsively and explore innovative ways of helping service users reach their ideal outcomes. For example, the Reablement Assistants helped this lady to wash in a way that so her wound did not become infected, as well as supporting her going for short walks outdoors. After four weeks on the service, she finished Reablement fully independent and able to manage her own needs.

**Case Study 3:** Following a bout of pneumonia, a 76 year old man started with two Reablement Assistants for transfers, personal care and bed time visits. In particular he was struggling to transfer to the toilet due to his bulky wheelchair and poor mobility in his arms. While he was on the service the Reablement staff used the new strengths-based approach to help him to learn to use a board for transfers. Over this time, his progress was monitored closely by his social care worker through regular feedback from the provider. After a few weeks he became fully independent transferring from his wheelchair to the toilet. His final package was revised to two visits a day from one care worker, for personal care and bed time support. Before, a complex case like this might not have been referred to Reablement. With a Reablement-first approach, the county council can help service users quickly reach their ideal outcomes where people have more complex needs.

## 5. DOCUMENT HISTORY

| RELATED DOCUMENTS                          |   |
|--|---|
| OTHER RELATED DOCUMENTS                    | <ul style="list-style-type: none"> <li>• Needs Assessment Policy</li> <li>• Continuity of Care Policy</li> <li>• Ordinary Residence Policy</li> <li>• Wellbeing Policy</li> <li>• Financial Assessment and Charging Policy</li> </ul>   |
| LEGISLATION OR OTHER STATUTORY REGULATIONS | <ul style="list-style-type: none"> <li>• The Care and Support (Eligibility Criteria) Regulations 2015</li> <li>• The Care Act 2014 - Part 1 Assessing Needs Section 13</li> <li>• Chapter 1 Promoting Wellbeing Statutory Guidance</li> <li>• Chapter 6 Assessment and eligibility Statutory Guidance</li> <li>• Chapter 19 Ordinary residence Statutory Guidance</li> <li>• Chapter 20 Continuity of care Statutory Guidance</li> <li>• National Institute for Health and Care Excellence (NICE): Intermediate care including reablement (coming September 2017)</li> <li>• Factsheets</li> <li>• Reablement Product Manual</li> </ul> |

[Insert Reablement Guide and Product Manual]

## 6. EQUALITY IMPACT ASSESSMENT

**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Director of Commissioning**

|               |
|---------------|
| <b>Part I</b> |
|---------------|

|                                      |
|--------------------------------------|
| Electoral Divisions affected:<br>All |
|--------------------------------------|

**Supporting Patients Choice to Avoid Long Hospital Stays Policy and Funding Framework**

(Appendices 'A' and 'B' refer)

Contact for further information:

Clare Mattinson, 07500 065525, Policy, Information and Commissioning Manager  
(Age Well)

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**Executive Summary**

The Supporting Patients Choices to Avoid Long Hospital Stays Policy has been developed locally by NHS organisation and local authorities operating in the area of the Lancashire and South Cumbria Sustainability and Transformation Partnership. It is based on a national framework issued by NHS England. The aim of the policy is to provide accurate and timely information to patients about their choices when leaving hospital, improve patient flow and increase capacity within hospital to meet growing demand.

To minimise delays and uncertainty about which organisation has funding responsibility for meeting the support needs of particular individuals in the context of this policy, a funding framework has also been developed by NHS and Local Authority partners within the Lancashire and South Cumbria Partnership.

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

**Recommendation**

The Cabinet is recommended:

- (i) To approve the Supporting Patients Choice to Avoid Long Hospital Stays Policy for Lancashire and South Cumbria attached at Appendix 'A'.

- (ii) To approve the adoption of the Funding Framework at Appendix 'B';
- (iii) To authorise the Director of Adult Services, in conjunction with the Director of Financial Resources, to finalise the County Council's own implementation arrangements for the policy and funding framework as and when it has received approval by other NHS and local authority organisations.

## **Background and Advice**

In March 2016, NHS England produced a policy template in relation to Supporting Patients Choices to Avoid Long Hospital Stays. Its aim was to support local health and social care systems to reduce the time people spend in hospital, when they are ready to be discharged and no longer need acute care, but are delayed whilst making decisions about or making arrangements for their ongoing care. These documents were produced in consultation with a range of stakeholders including LGA, ADASS and Public Health England. The 2015 NICE guidance 'Transition between inpatient hospital settings and community or care home settings for adults with social care needs' also provides further context.

Prior to the development of the national policy template, all hospital Trusts in Lancashire had been developing their own policies for supporting patients' choices to avoid delayed discharge policies, often referred to as 'Home of Choice' policy. This approach was challenging to implement consistently across the whole of Lancashire and South Cumbria, as each Trust's policy and procedures were different, which made it potentially confusing for patients and families, and for practitioners and managers in the various agencies to understand. It was therefore agreed to work in partnership to develop a single policy covering the whole of Lancashire and South Cumbria.

NHS organisations and local authorities in Lancashire and South Cumbria have therefore adapted the national policy so that it can be used in all the hospital settings across its footprint. The policy is set out at Appendix 'A'.

There is also a range of procedures and patient information, designed to support the implementation of the policy, and to ensure consistent messages to patients within each hospital setting.

Lancashire County Council has been a partner in this collaborative process and contributed to the development of the policy throughout. The Director of Adult Services for Lancashire has also worked with other Directors of Adult Social Care from Blackpool, Blackburn with Darwen and Cumbria, to agree a common position in relation to the risk and issues the policy presents to local authorities. This has been shared with NHS partners and has influenced the development of the policy.

In addition, to support the policy, the Directors of Adult Social Care have jointly developed a funding framework which is set out at Appendix 'B'. This has been shared with and endorsed by NHS organisations through the Lancashire and South

Cumbria Urgent and Emergency Care network. For those very limited number of situations where the application of the policy leads to a potential eviction from Hospital, a risk share agreement and pooled budget will be needed to meet the costs of interim placements or support. It is proposed to use the governance arrangements underpinning the Better Care Fund in Lancashire to establish appropriate mechanisms.

The policy and funding framework has now been endorsed by the Urgent and Emergency Care Network, but each NHS organisation and local authority needs to seek formal approval and support for the implementation of the policy through their own governance structures. The aim is for implementation of the new policy to take place in September/October 2017 across Lancashire and South Cumbria.

### **Consultations**

Wider public consultation was undertaken in relation to the national policy template. The policy for Lancashire and South Cumbria has not been consulted upon specifically, as it is a development of that national policy. However, there will be a four week online engagement exercise, informing patients of the new policy and taking any feedback to improve future communications.

### **Implications:**

This item has the following implications, as indicated:

#### **Personnel**

Personnel implications will be dealt with within Adult Social Care. This will include management of staff, staff training and review.

A programme of training is being developed to be delivered across all health and social care teams who manage hospital discharges, to ensure understanding of their responsibilities within the new policy, and to embed the new duties into practice.

#### **Legal**

The Policy and supporting guidance places a series of responsibilities on the County Council, in regard to the care and support for adults. All documents will be publically accessible as part of this process, with the aim of reducing legal challenge or complaints due to lack of understanding or transparency.

#### **Equality and Diversity**

The national policy itself was subject to a wide range of consultation and its provisions were assessed for their equality impact.

## **Financial**

There are a number of financial implications which have been identified as part of the policy development. To address these financial risks, the Directors of Adults Social Care have developed a financial framework to be mutually agreed with Health partners as set out in Appendix 'B'.

As yet, the value of the additional costs to the County Council are unknown, although it is expected that these changes will only effect a small cohort of people eligible for social care support, and the costs associated will therefore be minimal and closely monitored.

## **Risk management**

- Implementation Risk

Despite the work that has been undertaken and the consensus that has emerged on this, it is of course possible that one of more partner organisations do not approve the policies in their present form. It is therefore intended that the Director of Adult Services is authorised to agree implementation arrangements in the light of the decisions of all relevant bodies to approve, amend or reject the policy.

The procedures for delivering the policy have been developed for Lancashire and South Cumbria, although it has been agreed that there can be minor modifications to meet needs of each hospital trust. There is a risk that this could impact on Adult Social care operation teams in terms of management and monitoring of the policy implementation. Therefore, Lancashire County Council has requested that there is a management and governance group, created with representation for all health partners to review and monitor the policy, associated procedures and funding.

- Reputational risk

There is a risk to organisational reputations if all partners do not agree to support and implement the policy and delayed discharges may occur as a result. This policy has been developed from a national template agreed by partners in Health and Social Care, including the Association of Director of Adult Social Services. However, it is also likely that the application of this policy could lead to public and media interest in those exceptional cases where individuals are evicted from hospitals.

## List of Background Papers

| Paper  | Date | Contact/Tel                      |
|--|------|----------------------------------|
| NICE guidance 'Transition between inpatient hospital settings and community or care home settings for adults with social care needs'. -<br><a href="https://www.nice.org.uk/guidance/ng27">https://www.nice.org.uk/guidance/ng27</a> | 2015 | Clare Mattinson/<br>07500 065525 |

Reason for inclusion in Part II, if appropriate

N/A








# **Lancashire & South Cumbria Shared Policy**

## **Supporting Patient's Choices to Avoid Long Hospital Stays**

Final Draft Version 4.0

24 April 2017

|  |  |
|--|--|
|               | <p>The Association of Directors of Adult Social Services (ADASS) is registered charity with the objectives of furthering equitable social policies, articulating the interests of those needing social care and promoting high quality social care services.</p>                         |
|               | <p>Care England, a registered charity, is the leading representative body for independent care services in England.</p>  |
|               | <p>The Department of Health is the system steward and lead on legislation and parliamentary accountability for health and care in England.</p>   |
| <p><b>Emergency Care Improvement Programme</b><br/>Safer, faster, better care for patients</p> | <p>The Emergency Care Improvement Programme is a clinically led programme that offers intensive practical help and support to 28 urgent and emergency care systems.</p>  |
|              | <p>The Housing Learning and Improvement Network (LIN) provides a 'knowledge hub' for a housing, health and social care professionals network.</p>  |
|             | <p>The Local Government Association (LGA) is the national voice of local government. We work with councils to support, promote and improve local government.</p>   |
|             | <p>NHS Alliance is an independent, not-for-profit, leadership organisation that brings together progressive providers of care outside hospital including general practice, primary care, housing and community-based organisations.</p>  |
|             | <p>NHS England leads the National Health Service (NHS) in England; setting priorities and direction of the NHS and encouraging and informing the national debate to improve health and care.</p>   |
|             | <p>From 1 April 2016 NHS Improvement will be the operational name for the organisation that brings together Monitor, NHS TDA, groups from NHS England's Patient Safety teams, the National Reporting and Learning System, the Advancing Change team and the Intensive Support Teams.</p> |

|  |   |
|--|---|
|  <p>Public Health<br/>England</p> | <p>Public Health England exists to protect and improve the nation's health and wellbeing, and reduce health inequalities. It does this through world-class science, knowledge and intelligence, advocacy, partnerships and the delivery of specialist public health services.</p> |
|                                   | <p>The Registered Nursing Home Association campaigns for high standards in nursing home care and strive to influence policy, provide information, advice and training to the sector.</p>  |
|                                   | <p>United Kingdom Homecare Association Ltd (UKHCA) is the national professional association for organisations from the independent, voluntary, not-for-profit and statutory sectors which provide care to people in their own homes.</p>  |

## Lancashire and South Cumbria Shared Policy: SUPPORTING PATIENTS' CHOICES TO AVOID DELAYED DISCHARGE

Version number: 4.0 Final Draft for Ratification

24 April 2017

Prepared by: The National Template Policy was prepared by a partnership of organisations listed in co-branding with support from others from across the health and social care sector. This version for the Lancashire and South Cumbria health and care system has been prepared taking the National template as a basis, by a Task Group involving all hospital provider and commissioning organisations and all local authorities, with the oversight of the Lancashire and South Cumbria Urgent and Emergency Care Network and Collaborative Commissioning Board.

Classification: OFFICIAL

Promoting equality and addressing health inequalities are at the heart of our values. Throughout the development of the policies and processes cited in this document, we have:

- Given due regard to the need to eliminate discrimination, harassment and victimisation, to advance equality of opportunity, and to foster good relations between people who share a relevant protected characteristic (as cited under the equality act 2010) and those who do not share it; and
- Given regard to the need to reduce inequalities between patients in access to, and outcomes from healthcare services and to ensure services are provided in an integrated way where this might reduce health inequalities

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## 1. INTRODUCTION

- 1.1. This policy supports people's timely, effective discharge from an NHS inpatient setting, to a setting which meets their diverse needs and is their preferred choice amongst available options. The priority is always to discharge people to their home however this is not always possible due to health and care needs. The NHS must ensure that it utilises hospital and community beds effectively. Hospital beds are only to be used for those individuals who need specific hospital treatment that cannot be carried out better elsewhere.
- 1.2. This policy applies to all adult inpatients in NHS hospital settings, and needs to be utilised before and during admission to ensure that those who are assessed as medically fit for discharge can leave hospital in a safe and timely way.
- 1.3. It is intended that this Policy is used collaboratively across the system and that the principles are also applied across the whole pathway of care post discharge, in particular interim care placement settings.
- 1.4. This policy supports existing guidance on effective discharge, such as the 2015 NICE guidance 'Transition between inpatient hospital settings and community or care home settings for adults with social care needs'<sup>1</sup>, and is based on existing good practice.
- 1.5. The consequences of a patient<sup>2</sup> who is ready for discharge remaining in a hospital bed might include:
- Exposure to an unnecessary risk of hospital acquired infection<sup>3</sup>;
  - Physical decline and loss of mobility / muscle use<sup>4</sup>;
  - Frustration and distress to the patient and relatives due to uncertainty during any wait for a preferred choice to become available;
  - Increased patient dependence, as the hospital environment is not designed to meet the needs of people who are medically fit for discharge<sup>5</sup>;
  - Severely ill patients being unable to access services due to beds being occupied by patients who are medically fit for discharge.
- 1.6. Patients and families can find it difficult to make decisions and/or make the practical arrangements for a range of reasons, such as:
- A lack of knowledge about the options and how services and systems work;
  - Concerns about either the quality or the cost of care;
  - Feeling that they have insufficient information and support;
  - There is uncertainty or conflict about who will cover costs of care;

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<sup>1</sup> <https://www.nice.org.uk/guidance/ng27>

<sup>2</sup> The term 'patient' is used throughout this policy to refer to the individual receiving treatment

<sup>3</sup> Hassan, M. et al, 2010. *Hospital length of stay and probability of acquiring infection*. International Journal of Pharmaceutical and Healthcare Marketing. 4(4):324-338.

<sup>4</sup> Kortebein, P. et al (2008). *Functional impact of 10 days of bed rest in healthy older adults*. J Gerontol A Biol Sci Med Sci. 63(10):1076-81.

<sup>5</sup> Monk, A. et al. 2006. *Towards a practical framework for managing the risks of selecting technology to support independent living*. Applied Ergonomics, Vol.37(5).

- Concerns about moving into interim accommodation and then moving again at a later stage
- The choices available do not meet the patient's preferences
- Concerns that their existing home is unsuitable, cold or needs work done to ensure a safe environment for discharge
- Worry about expectations of what family and carers can and will do to support them.

1.7. The principles of the 6Cs<sup>6</sup> should be applied to this process – care, compassion, competence, communication, courage and commitment.

## 2. PURPOSE

- 2.1. The purpose of this policy is to ensure that choice is managed sensitively and consistently throughout the discharge planning process, and people are provided with effective information and support to make a choice.
- 2.2. This policy sets out a framework to ensure that NHS inpatient beds will be used appropriately and efficiently for those people who require inpatient care, and that a clear process is in place for when patients remain in hospital longer than is clinically required.
- 2.3. Where the patient lacks capacity to make<sup>7</sup> decisions about discharge from hospital, then the application of the policy should be adapted as explained in Appendix 2, following the Mental Capacity Act 2005.
- 2.4. When implemented consistently, this policy should reduce the number and length of delayed discharges and result in patients being successfully transferred to services or support arrangements where their needs for health and care support can be met. Ultimately it aims to improve outcomes for patients.
- 2.5. This policy includes patients with very complex care needs, who may have been in hospital for many months or years, and people at the end of life.
- 2.6. There will be people with no health or care needs who may have other complexities such as housing need. The policy applies to all adult inpatients in relation to the processes for appropriate and timely assessment and discharge. The options for interim assessment placements will not apply to individuals where it is known that they do not have ongoing health/care need.

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<sup>6</sup> <https://www.england.nhs.uk/nursingvision/compassion/>

<sup>7</sup> Due to their difficulty understanding, retaining or using information given, or in communicating their views, wishes or feelings, as a result of a disturbance or impairment in the functioning of the mind or brain, as set out in the Mental Capacity Act 2005

## 3. PRINCIPLES

### SUPPORTING PEOPLE TO MAKE DECISIONS

- 3.1. Patients should not be expected to make decisions about their long-term future while in hospital; home care, reablement or intermediate care or other supportive options should be explored first, where that is appropriate to their needs.
- 3.2. Where it is what the patient wants and where appropriate, all possible efforts should be made to support people to return to their homes instead of residential placements, with options around home care packages and housing adaptations considered.
- 3.3. People should be provided with high quality information, advice and support in a form that is accessible to them<sup>8</sup>, as early as possible before or on admission and throughout their stay, to enable effective participation in the discharge process and in making an informed choice.
- 3.4. Patients should be involved in all decisions about their care, as per the NHS Constitution, and should be provided with high quality support and information in order to participate, where possible. In the context of a discharge decision, the information relevant to the decision will include an understanding of their care needs on discharge, the process and outcome of the assessment of needs, offers of care and options available.
- 3.5. Where it is identified that the patient requires a needs assessment under the Care Act 2014, but would have substantial difficulty in engaging in the assessment and care planning process, the local authority must consider whether there is anyone appropriate who can support the individual to be fully involved. If there is not then the local authority must arrange for an independent Care Act advocate.
- 3.6. Many patients will want to involve others to support them, such as family or friends, carers or others. Where the patient has capacity to make their own decisions about confidentiality and information sharing, confidential information about the patient should only be shared with those others with the patient's consent.
- 3.7. Where the patient has been assessed as lacking capacity in this respect, information may be shared in his or her best interests in accordance with requirements set out in the Mental Capacity Act 2005 Code of Practice and Appendix 2 of this document.<sup>9</sup>
- 3.8. Where someone is providing care or considering providing care post-discharge, unpaid as a carer, they must be informed and invited to be

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<sup>8</sup> Equality Act 2010 and Human Rights Act 1998, regarding disability and heritage languages; [Accessible Information Standard](#) to be introduced in July 2016

<sup>9</sup> Mental Capacity Act 2005 Code of Practice available at:

<https://www.gov.uk/government/publications/mental-capacity-act-code-of-practice>



involved in the discharge process and informed about their rights and sources of support. People have a choice about whether or not to provide care for other adults and people must be informed about their choices when establishing whether they are willing and able to provide care.

- 3.9. Carers must be offered the information, training and support they need to provide care following discharge<sup>10</sup>, including a carer's assessment.
- 3.10. The process of offering choice of care provider and/or discharge destination will be followed in a fair and consistent way and there will be an audit trail of choices offered to people.
- 3.11. Interactions with patients will acknowledge and offer support to address any concerns.
- 3.12. If a patient is not willing to accept any of the available, appropriate alternatives, then it may be that they are discharged, after having had appropriate warning of the risks and consequences of doing so. This option would only be pursued following the offer and rejection of available, appropriate options of care and appropriate safeguards and risk assessments (see section 4.50). For patients who may lack capacity to make their own discharge decisions, see Appendix 2.

## **TIMELY DISCHARGE FROM ACUTE CARE**

- 3.13. If a patient is medically fit for discharge, it is not suitable that they remain in hospital due to the negative impact this can have on their health outcomes.
- 3.14. Patients do not have the right to remain in hospital longer than required<sup>11</sup>.
- 3.15. Except where a patient with the relevant capacity has made an informed decision to discharge himself/herself against the advice of health or social care professionals, the discharge process must not put the patient or their carers at risk of harm or that could breach their right to respect for private life. It should not create a situation whereby the independence of the carer or the sustainability of their caring role is jeopardised.
- 3.16. Planning for effective transfer of care, in collaboration with the patient and/or representatives and all Multi-Disciplinary Team (MDT) members, should be commenced at or before admission, or as soon as possible after an emergency admission. The SAFER patient flow bundle<sup>12</sup> should be applied to support timely discharge.

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<sup>10</sup> Care Act 2014 s10

<sup>11</sup> *Barnet PCT v X* [2006] EWHC 787. A patient has no right to demand / the NHS has no obligation to provide something not clinically indicated, (*R (Burke) v GMC* [2005] EWCA Civ 1003), including provision of an inpatient bed and a patient who lacks mental capacity for the relevant decisions has no greater right to demand this (*Aintree University Hospitals NHS Foundation Trust v James* [2013] UKSC 67).

<sup>12</sup> <http://www.fabnhsstuff.net/2015/08/26/the-safer-patient-flow-bundle>

- 3.17. The process and timelines within this policy should be clearly communicated to the patient so that by the time a patient is medically fit for discharge they are aware of and understand the discharge process, the decisions and actions that they may need to undertake and the support they will receive.
- 3.18. If a patient's preferred care placement or package on discharge is not available when they become medically fit for discharge, an available alternative which is appropriate to their health and care needs will be offered on an interim basis, whilst they await availability of their preferred choice.

## **FUNDING ARRANGEMENTS**

- 3.19. This policy applies equally to people regardless of the funding arrangements and the nature of their ongoing care.
- 3.20. Those self-funding care will be offered the same level of advice, guidance and assistance regarding choice<sup>13</sup> as those fully or partly funded by their local authority or NHS Continuing Healthcare (CHC), although it is likely that some of the content will need to differ.
- 3.21. A full assessment for NHS CHC should only be undertaken where the longer-term needs of the individual are clear. In the majority of cases, these assessments should be conducted outside of hospital within a reasonable time frame and should not be a reason for delaying discharge to care outside of hospital. However, if (and only if) the individual has a 'rapidly deteriorating condition which may be entering a terminal phase' the NHS CHC Fast Track Pathway should be considered.

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<sup>13</sup> Care Act 2014 s4

## 4. OVERVIEW OF PROCESS

|   |   |
|---|---|
| Step 1 - Providing standard information and support | <ul style="list-style-type: none"> <li>• Start discussions about discharge with patient before or as soon as possible after admission</li> <li>• Determine whether the patient has mental capacity and if not, put in place appropriate measures (see Appendix 2)</li> <li>• Identify discharge coordinator, and other people who have the patient's consent to be involved in discussions and decisions, e.g. carers, relatives</li> <li>• Provide Factsheet A</li> <li>• Refer to support services and advocacy, as required</li> </ul>                             |
| Step 2 - Assessing need                             | <ul style="list-style-type: none"> <li>• Refer patient and any carers to required health and care services when they are ready to have their needs assessed for discharge</li> <li>• Ensure assessments to clarify care needs and carers' needs are completed [note: NHS CHC assessments should be conducted outside of hospital in the main]</li> </ul>  |
| Step 3 - Preparing for discharge                    | <ul style="list-style-type: none"> <li>• Discuss available and appropriate options with patient</li> <li>• Refer to support services and/or advocacy, as required</li> <li>• Explain the decision-making process, including how to appeal any decisions, to the patient and advise that the hospital will expect discharge within the seven day window</li> <li>• Provide Letter B and tailored information on options which are suitable to meet assessed needs and available funding</li> </ul>   |
| Step 4 - Seven day window                           | <ul style="list-style-type: none"> <li>• Initiates upon provision of Letter B and information on choices to patient, in advance of the estimated discharge date</li> <li>• Allow up to seven consecutive days for the patient to consider their available options</li> <li>• Support the patient to make a decision, respond to concerns and offer advice, support and encouragement</li> </ul>   |
| Step 5 - Interim placements and packages            | <ul style="list-style-type: none"> <li>• If decision and/or discharge has not been achieved with seven consecutive days, MDT to liaise with patient and arrange the offer of an interim placement or package which meets assessed needs</li> <li>• Advise the patient that an interim arrangement for a given length of time is offered with a proposed date for discharge. Details should be provided of how interim funding arrangements relate to funding of subsequent care.</li> <li>• Give appropriate version of Letter C and offer further support</li> </ul> |
| Step 6 - Escalation                                 | <ul style="list-style-type: none"> <li>• If no agreement has been reached regarding discharge, and/or transfer arrangements are challenged, senior staff to hold formal meeting with patient to understand and resolve issues and reiterate policy</li> <li>• Letter D to be sent following formal meeting or if patient does not engage in formal meeting [note: this applies where reasonable options have been rejected and there are no ground to challenge]</li> <li>• Consult local legal advisors, if necessary</li> </ul>                                     |

Throughout the Steps below the phrase 'nominated representative' is used for those people who are authorised representatives for patients who lack capacity and this will be decision specific as per the legal requirements in relation to mental capacity.

## **STEP 1 – PROVIDING STANDARD INFORMATION AND SUPPORT**

- 4.1. A discharge coordinator<sup>14</sup> will be identified for each patient and they will explain the discharge planning process to the patient on admission, or their nominated representative if the patient lacks capacity.
- 4.2. Factsheet A will be given to and discussed with the patient or their nominated representative.
- 4.3. The discharge coordinator will ensure that the patient/ nominated representative is aware of this policy and of the circumstances in which an interim placement or package might be necessary. All communication will clearly set out the process that the hospital will follow in order to work towards the patient's safe and timely discharge when their need for inpatient treatment ends. It should be made clear that they will receive advice and support in making a decision<sup>15</sup>.
- 4.4. All patients will be given an Estimated Date of Discharge (EDD) as soon as possible after admission by a consultant or senior clinician. Regular review and discussion about the EDD as part of 'board rounds'<sup>16</sup> will ensure all parties understand when support will be required to facilitate discharge.
- 4.5. Patients / nominated representatives should be involved in all decisions about the patient's care<sup>17</sup> and supported to do so, where necessary.
- 4.6. At this point, it should be clearly identified who else the patient wishes to be informed and/or involved in the discussions and decisions regarding discharge, and appropriate consent received (if the patient lacks capacity then other legal basis needs to be established – see Appendix 2). This can include, but is not limited to, any formal or informal carers, friends and family members. Capacity assessments / Best Interest Meetings will be undertaken as required and clearly documented in the patient's notes (see Operating Procedure).
- 4.7. The discharge coordinator will ensure that any carer(s) of the patient are identified and support through the discharge process. This includes providing information on Carer's Assessments and support services and/or referrals to

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<sup>14</sup> The term 'discharge coordinator' is used throughout this policy to refer to the named individual responsible for coordinating a patient's discharge – this could be a named nurse from the ward, a named social care professional from the local authority, an appropriate person from a voluntary sector organisation contracted to co-ordinate statutory services and act as patient advocate, or a named CHC health professional.

<sup>15</sup> Care Act 2014 s4 Providing Information and Advice

<sup>16</sup> A 'board round' is a rapid review of progress against the care plan, typically involving the consultant, the medical team, the ward manager and therapists (and sometimes a social worker). It is usually held by a wards 'at a glance' white board. The aim is to ensure that momentum is maintained and deteriorations identified and managed promptly.

<sup>17</sup> NHS Constitution

the relevant support services. Ensuring the carer has adequate support in place will reduce the risk of unnecessary readmission of the patient.

## STEP 2 – ASSESSING NEED

- 4.8. The likelihood of the patient and any carers needing health (including mental health) care, social care, housing, or other support after discharge will be considered as soon after admission as possible.
- 4.9. If the patient is likely to have ongoing health, housing or social care needs after discharge the discharge coordinator will ensure timely referral to these other services for assessment<sup>18</sup>. This should be from a holistic and patient-centred perspective of a person's needs and the care and support options may include, for example:
- Intermediate care (or step down care), either bed based or community based;
  - Social care assessment;
  - Community nursing services, including community matrons;
  - Reablement;
  - Short-term placement in a care home;
  - Care at home support package;
  - Financial assessment and benefits advice;
  - Eligibility for NHS Continuing Healthcare or Funded Nursing Care;
  - Home assessment for aids, adaptations and / or assistive technology;
  - Other local health, social or voluntary service.
- 4.10. Local arrangements for Trusted Assessor processes will also be applied as appropriate.
- 4.11. It will be made clear to the patients/ their nominated representative (and their carers, where appropriate) what the assessment in hospital is for, and what further assessments they can expect in the places they are transferred to.
- 4.12. Any carers of the patient should be advised of their rights to have a carers' assessment, with appropriate information and support, and referral to relevant support services.
- 4.13. Patients / their nominated representatives should be actively involved in the assessment process and in the development of care plans to enable full and effective assessments and support planning.
- 4.14. Patients / their nominated representatives should be informed of the rights they have to complain about an assessment or decisions about their need for support.

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<sup>18</sup> Care Act 2014, s9 Assessment of an adult's need for care and support; NHS Commissioning Board and Clinical Commissioning Groups (Responsibilities and Standing Rules) Regulations 2012, reg 21

### STEP 3 – PREPARING FOR DISCHARGE

- 4.15. Following relevant assessments, Letter B (version dependent upon destination) will be prepared and given to the patient / their nominated representative by the discharge coordinator, explaining the process and ensuring they are aware of all timelines and steps.
- 4.16. Tailored information will be provided to the patient /their nominated representative about the care options available to them, including details of costs. The conditions of funding for interim, intermediate and reablement places, (and the 12 week property disregard<sup>19</sup> of fees for the circumstances when the patient transfers directly to a care home) should be made clear.
- 4.17. The patient will be referred to the most appropriate individual for advice and support in making an informed choice and engaged in multi disciplinary team development of a person centred care and support plan which focuses on the individuals needs and preferences. This should include a discussion of the option of a personal budget [see 4.22].
- 4.18. The patient should be directed to local advocacy arrangements for advice and information regarding advocacy, if required.<sup>20</sup>
- 4.19. If the patient is assessed to have care needs after discharge, the discharge coordinator will advise the patient / their nominated representative at the earliest appropriate opportunity about currently available care providers that can meet their needs and are registered with the Care Quality Commission (CQC). In some cases it is possible that there may be only one appropriate option, and the rationale for this must be explained.
- 4.20. If it is known that the placement / package is to be funded or provided by the NHS, the patient / their nominated representative will be advised of their right to look at alternatives that fall within the criteria set by the CCG, based on their individual needs.
- 4.21. If it is known that the placement / package is to be funded by the Local Authority, the patient / nominated representative will be advised by Social Services of their right to look at alternatives that fall within the criteria set by the local authority, based on their individual needs<sup>21</sup>, and the option to top-up. Particular consideration should be given to the timings within this policy to prevent breaches of local authority duties relating to discharge<sup>22</sup>.
- 4.22. If the patient is interested in taking up the offer of a personal budgets (social care), personal health budgets (NHS) or integrated personal budgets, they

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<sup>19</sup> [Certain circumstances](#) where the local authority should disregard a property from means testing for the first 12 weeks of being a permanent resident in a care home, when it is providing assistance with the placement

<sup>20</sup> Care Act 2014, s67 Involvement in Assessment, Plans etc

<sup>21</sup> Care Act 2014 s4 and s30; Care and Support and After-care (Choice of Accommodation) Regulations 2014

<sup>22</sup> Care Act 2014 s3, and Care and Support (Discharge of Hospital Patients) Regulations 2014, SI 2014/2823

will be advised where to get information, who to contact locally and refer them to the lead locally.

- 4.23. Self-funders should be provided with the same level of information, advice and support as people whose care is being funded by the NHS or the local authority<sup>23</sup>.
- 4.24. The discharge coordinator or support service should discuss discharge plans with the patient/ their nominated representative regularly, in some cases this may be as often as daily conversations. The discharge coordinator will endeavour to meet the patient's wishes regarding specific concerns about the appropriateness of a temporary arrangement, if concerns are brought to their attention.
- 4.25. Patients / their nominated representative should be informed of the rights they have to complain and provided with details of how to do so as appropriate.
- 4.26. In order to minimise the need for patients to have recourse to formal complaints procedures, statutory agencies should make every effort to ensure that patients are involved in all stages of decisions that affect them, and that their agreement to such decisions is obtained.

#### **STEP 4 – SEVEN DAY WINDOW**

- 4.27. Once step 3 is completed by giving appropriate information on packages of care or placements, resolving any disputes and giving Letter B to the patient / their nominated representative, the expectation should be that the patient makes a decision about discharge within 7 consecutive days, and either discharge has happened or arrangements are in place to do so.
- 4.28. If there are particular circumstances, such as an out of area transfer or safeguarding concerns, when it is unreasonable to expect a decision to be made within seven days, a longer period / period of interim care may be agreed for an individual.
- 4.29. Step 3 should be completed well in advance of the EDD, where possible, to prevent avoidable delays to discharge occurring, and in these circumstances more than 7 days can be given as a timescale to people to make arrangements. This is particularly the case with people whose care will be funded by the local authority to prevent breaches of their responsibilities for discharge<sup>24</sup>.
- 4.30. Patients do not have the right to remain in hospital longer than required<sup>25</sup>. However, they do have the right to respect for private life and not to be

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<sup>23</sup> Care Act 2014

<sup>24</sup> Care Act 2014 s3, and Care and Support (Discharge of Hospital Patients) Regulations 2014, SI 2014/2823

<sup>25</sup> Barnet PCT v X [2006] EWHC 787. Case law 'R (Burke) v GMC [2005] EWCA Civ 1003' states that patients have no right to insist on particular treatment which is not clinically indicated. This includes provision of an acute inpatient bed when medically fit for discharge.

treated in an inhuman or degrading way. Therefore it is crucial for the hospital to ensure that the proposed transfer is appropriate and in line with human rights legislation.<sup>26</sup>

- 4.31. The discharge coordinator will advise the patient that the hospital will expect discharge to be achieved within the agreed timescale.
- 4.32. The discharge coordinator and local support service will proactively support the patient during this process and will offer advice and support regardless of how the placement is to be funded. Regular communication will be maintained throughout this period by the discharge coordinator and the support service.
- 4.33. Implementation of this policy does not impact on the measurement of delayed transfers of care, which should continue to be reported against the guidance laid out by NHS England<sup>27</sup>.

## **STEP 5 – INTERIM PACKAGES AND PLACEMENTS**

- 4.34. An interim package of care or placement will be offered to a patient where a decision has not been made within seven days of completion of step 3, available options have been declined, or where a decision has been made but the specific package, placement, or adaptation is not yet available. Patients do not have the right to remain in hospital to wait for their preferred option to become available.
- 4.35. The interim package or placement is distinct from intermediate care or reablement.
- 4.36. Where decision and/or discharge is not achieved within seven consecutive days of completion of step 3, members of the MDT will liaise within two working days. The MDT will discuss and seek to agree the recommended interim package or placement with the patient. Consideration of interim arrangements must be accompanied by a risk assessment, including impact on any carers.
- 4.37. The MDT may then advise the patient that an interim package or placement, which meets their assessed needs, is being offered, the reasons why the offer is appropriate, and a proposed date for transfer.
- 4.38. The interim package or placement will be confirmed with letter C (version dependent upon funding arrangements). Letter C will be prepared and given to the patient by a hospital representative. It is important that the letter is addressed to the patient, is personalised to reflect their circumstances and that the process is also discussed with the patient.
- 4.39. The interim package / placement will allow further time for the choice of package / placement to be resolved outside of hospital. This interim option

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<sup>26</sup> Human Rights Act 1998

<sup>27</sup> <https://www.england.nhs.uk/statistics/wp-content/uploads/sites/2/2015/10/mnth-Sitreps-def-dtoc-v1.09.pdf>



would normally be in one of the initial packages / placements offered, if still available.

- 4.40. Interim placements will be funded as per local arrangements and this will be clearly communicated to the patient from the outset.
- 4.41. Discussions regarding permanent options will continue throughout the interim placement with a designated person from the relevant organisation.
- 4.42. Self-funders will be required to fund their care in the interim package / placement beyond the period of the interim placement, as per local arrangements, if a permanent decision has not yet been made or if the chosen package/ placement is not yet available. The exception to this is where the 12 week property disregard applies.
- 4.43. Where the need for a NHS CHC assessment has been identified on hospital discharge the individual should not be charged for their care during the period it takes to complete the NHS CHC assessment.
- 4.44. The relevant statutory organisation is responsible for funding the interim placement beyond the period agreed for the interim placement, if the ongoing placement/package is not yet available. The statutory authority in all cases will be fully involved in the assessment and decision making processes.
- 4.45. Also refer to the Continuing Healthcare (CHC) and Funded Nursing Care (FNC) Choice and Equity Policy.

## **STEP 6 – ESCALATION PROCESS**

- 4.46. If no agreement has been reached regarding discharge arrangements after steps 1-5, and transfer arrangements are challenged by the patient, the senior clinician in the hospital with responsibility for Policy Escalation will support the discharge coordinator and support teams to continue plans for transfer to an interim package or placement.
- 4.47. The patient / their nominated representative will be provided with details of complaints and appeals procedures throughout the process.
- 4.48. The discharge coordinator and senior clinician will arrange a formal meeting with the patient / their nominated representative. The formal meeting enables all parties to discuss concerns and seek to agree transfer to the most appropriate care provider, at least as an interim option.
- 4.49. The discharge coordinator will send letter D following the formal meeting, summarising the discussion, including discussions around risks, and next steps.
- 4.50. Letter D should also be sent if the patient / their nominated representative does not engage in the formal meeting, including details of the reasons why they did not engage.

- 4.51. The discharge coordinator will continue to work with the patient/ their nominated representative throughout this process to try and understand and address barriers to a decision being made.
- 4.52. If the patient declines NHS treatment and a care or support package, they may be discharged from hospital<sup>28</sup>. In those circumstances they will be advised in advance of any discharge on the further NHS or social care support they may be able to access in the community and warned of the risks if they refuse such support.
- 4.53. Care should be taken to ensure that the Trust meets its duty<sup>29</sup> to serve an assessment notice and a discharge notice as appropriate on the local authority where it appears that the patient's discharge may be unsafe without the provision of appropriate care, and some cases may justify an adult safeguarding referral, including for cases which may amount to self-neglect<sup>30</sup>.
- 4.54. The discharge coordinator, supported by the local director or senior manager in the hospital, will consult local legal advisors and escalate as required to ensure discharge from hospital, in order to safeguard the health and wellbeing of the patient and other patients.

## 5. MENTAL CAPACITY

- 5.1. All patients should be assumed to have mental capacity to make a decision about their ongoing care, including as regards discharge. A capacity assessment should be undertaken at any point during the process if their capacity, in relation to the discussions and decisions on discharge, is in doubt.
- 5.2. Appendix 2 sets out in detail how the application of this policy should be adapted for cases where the patient may lack capacity to make the relevant decisions at the appropriate time.

## 6. CONSULTATION AND APPROVAL PROCESS

- 6.1. This policy was developed nationally by a collaboration of partners with input from people working across the system, both locally and nationally.
- 6.2. A Task Group of the Lancashire & South Cumbria Urgent and Emergency Care Network has adapted the policy for local use and it will be ratified by all

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<sup>28</sup> The duty on Trusts and Foundation Trusts to carry out their functions “effectively, efficiently and economically” under NHS Act 2006 (as amended) s26, 63; Criminal Justice and Immigration Act 2008, ss119-121, if the patient is no longer in need of inpatient treatment and their behaviour constitutes a nuisance or disturbance and [NHS protect guidance on this provision](#)

<sup>29</sup> Care Act Schedule 3

<sup>30</sup> Care Act statutory guidance chapter 14

local acute NHS providers, NHS commissioning organisations and Local Authorities.

## 7. REVIEW, REVISION

7.1. This policy will be at least annually by the Lancashire & South Cumbria Urgent and Emergency Care Network.

## 8. MONITORING COMPLIANCE AND EFFECTIVENESS

8.1. Monitoring of compliance and effectiveness will take place at Local Health system delivery level via the A&E Delivery Boards and their Acute Provider Trust and system learning will be reported and considered via the Lancashire & South Cumbria Urgent and Emergency Care Network.

8.2. Monitoring in each hospital will be undertaken on a biannual basis, facilitated by the local manager or lead nurse for discharge services.

8.3. Local monitoring will include an audit of:

- Staff training to check that training courses are relevant to the policy and ensure training is undertaken;
- Policy effectiveness;
- Review of when choice information is provided;
- Patient and/or representative feedback and complaints;
- Number of Delayed Transfers of Care;
- Length of Delayed Transfers of Care;
- Equality monitoring.

*Particular thanks go to the organisations involved in developing the 'Pan-Dorset Policy for Managing Choice on Hospital Discharge' and the 'Surrey Joint Protocol of Choice for Good Practice to Facilitate Timely Discharge for People needing Long Term Care', which have largely informed the content of this template policy.*

*Lancashire and South Cumbria Urgent and Emergency Care Network also recognises the efforts of all local partners, clinicians and practitioners in the development of the locally assimilated policy and the sharing of equivalent examples from Manchester. Acknowledgement is also made of inputs from A&E Boards and NHS England.*

## APPENDIX 1: GLOSSARY

**Advocacy:** a service to help people be involved in decisions, explore choices and options, defend their rights & responsibilities, and speak out about issues that matter to them.

**CHC:** NHS Continuing Healthcare is defined as a package of ongoing care for an individual aged 18 or over which is arranged and funded solely by the NHS where the individual has been found to have a 'primary health need'.

**Deprivation of liberty:** when an individual without mental capacity to consent is under continuous supervision and control and is not free to leave, and this is imputable to the state. See Appendix 2.

**Discharge coordinator:** the named individual responsible for coordinating a patient's discharge. This could be a named nurse from the ward, a named social care professional from the local authority, an appropriate person from a voluntary sector organisation contracted to co-ordinate statutory services and act as patient advocate, or a named CHC health professional.

**EDD:** Estimated or expected date of discharge. This means when the patient is clinically assessed as ready for discharge. The EDD is initially based on average length-of-stay data and may change several times in response to the patient's specific needs.

**Independent Mental Capacity Advocate (IMCA):** will represent patients assessed as lacking capacity under the Mental Capacity Act 2005 to make important decisions, such as change of accommodation, and who have no family and friends to consult.

**Interim care:** A provisional placement that is suitable and able to meet the patient's assessed needs whilst they wait for their preferred option.

**Intermediate care:** Short-term care provided free of charge by the NHS for people who no longer need to be in hospital but may need extra support to help them recover. It lasts for a maximum of six weeks and can be in the patient's home or in a residential setting.

**MDT:** Multidisciplinary team of health and social care professionals involved in the care and assessment of patients.

**Medically fit for discharge:** Further inpatient medical care or treatment is no longer necessary, appropriate or offered. Any further care needs can more appropriately be met in other settings, without the need for an acute inpatient hospital bed.

**Mental capacity:** Being able to make a specific decision at a specific time (see Appendix 2).

**Patient:** The individual receiving treatment in hospital.

**Reablement:** Reablement services are meant to help people adapt to a recent illness or disability by learning or relearning the skills necessary for independent daily living at home. Reablement should be provided free of charge by the local authority for up to six weeks. It can be extended at the local authority's discretion.

**Self-funder:** A person who financially meets the full cost of their social care needs (apart from reablement care and the 12 week property disregard), because their financial capital exceeds the threshold for adult services funding, their level of need is not deemed to be high enough for local authority funding, or because they or a representative choose to pay for their care.

## APPENDIX 2: HOSPITAL DISCHARGE AND MENTAL CAPACITY ISSUES

All staff must follow the five guiding principles of the Mental Capacity Act 2005 (“MCA”). This means:

- Presume that adults from 16 are mentally capable of making their own decisions;
- Do not determine the person lacks capacity until all practicable steps to support them have been taken without success;
- Do not consider someone to lack capacity because they make a decision we consider to be unwise;
- When the patient is assessed to lack capacity we must act in their best interests;
- Before taking any action or decision on their behalf we must consider if it can be achieved in a less restrictive way.

Capacity is specific to the decision that must be made, at the relevant time, and so it is possible that a patient who has been assessed as having capacity to consent to or refuse the treatment they have had as an inpatient may lack capacity to make decisions around discharge and care planning (and vice versa). Where there is a reason to doubt capacity for a particular decision, it must be specifically assessed, in accordance with the MCA, the MCA Code of Practice and relevant case law and documented appropriately.

All practicable steps must be taken to support the patient to make the decision before concluding that they are unable to make it themselves. This might involve taking a number of steps such as a providing information in a different format or breaking information down into smaller chunks.

If a person is assessed to lack capacity this means that staff have tested whether they can:

- Understand the information relevant to the decision,
- Retain the information long enough to make a decision,
- Use and weigh the information as part of the decision making process and
- Communicate the decision they want to make.

In the context of a discharge decision, the information relevant to the decision will include an understanding of their care needs on discharge, the process and outcome of the assessment of needs, offers of care and options available, with the person being given concrete information to consider, not starting with a blank sheet approach.

Options which are not available (e.g. placements which are not available, care which is not considered clinically appropriate, or care which will not be funded) should not be considered in either capacity assessments or in best interest decision-making. A patient with capacity cannot insist on staying in hospital after they are medically fit for discharge and so neither is it an option for a patient who lacks capacity for the discharge decision.

Where a patient, despite all reasonable efforts to support them, lacks capacity for discharge decisions, the decision must be made in their best interests (see MCA s4).

It is important to identify who the decision maker is as it could be a number of different people. The decision maker may be an attorney (if a health and welfare Lasting Power of Attorney has been granted, and is valid, applicable and registered) or a Deputy (if a health and welfare Deputy has been appointed by the Court). If neither of these are appointed then it will be the health or care professional who needs to make the decision in question. The wishes and feelings of the patient are paramount, but this does not mean they will always get what they want, anymore than a patient with capacity would.

“Best interests” is interpreted widely, and goes beyond medical risk and benefit to include social, psychological and emotional factors. Before making a best interests decision, it should be tested by asking whether the patient’s best interests can be achieved in a way which is less restrictive of their rights and freedoms.

A patient is entitled to an Independent Mental Capacity Advocate (IMCA) where it is proposed that an NHS body or a local authority provides accommodation in a care home for 8 weeks or longer unless there is someone to consult about their best interests other than a paid professional (MCA s38-39).

If the proposed placement or care package on discharge puts a patient without capacity to consent to it at risk of being deprived of liberty (Article 5, European Convention of Human Rights), currently as interpreted by the Supreme Court in *Cheshire West* [2014] UKSC 19 to mean “under continuous supervision and control and not free to leave” then additional safeguards are required to ensure that the deprivation is lawful.

Where the proposed deprivation of liberty is in a hospital or a registered care home, a referral must be made for a standard authorisation under the Deprivation of Liberty Safeguards (DoLS). However, DoLS do not extend to other placements, such as supported living or domiciliary care and so any proposed deprivation of liberty there can only be authorised by the Court of Protection. [In either case, case law has found that it is preferable for any proposed deprivation of liberty to be authorised in advance by a prior referral to DoLS or Court application – see for example *Re AJ* (DoLS) [2015] EWCOP 5, or *Re AG* [2015] EWCOP 78]

[It may be appropriate to seek legal advice on cases where deprivation of liberty after discharge appears to be an issue.]

## APPENDIX 3: SUMMARY OF LEGAL RESPONSIBILITIES AND RIGHTS

This appendix includes a brief summary of selected key legal responsibilities held by participating organisations and the rights that patients have in relation to the specific topic of this policy, with references to specific legislation and case law.

This list does not cover all of the legal complexities in relation to this issue – it is only provided as a guide to the people reading this policy and should not be used in place of legal advice.

|                      | <b>Responsibility or right in relation to choice at discharge</b>  | <b>Relevant legislation / case law</b>  |
|----------------------|--|---|
| Hospital (NHS Trust) | <p>No clinician or Trust is obliged to offer anything which is not clinically indicated. This includes provision of an acute inpatient bed.</p> <p>A Trust is obliged to carry out its functions “effectively, efficiently and economically”, which is not consistent with prolonged occupation of inpatient beds by patients who are medically fit for discharge</p> <p>In some cases, where the patient’s refusal to leave hospital when medically fit for discharge constitutes a nuisance or disturbance, an offence may be committed and there is a power to remove the patient</p> <p>Alternatively, other remedies may be available to Trusts under property law</p> <p>Where appropriate, where the Trust considers it will not be safe to discharge a patient unless arrangements for care and support are in place it must give notice to local authority, including provision in some circumstances for a financial remedy against the local authority where discharge is delayed as a result of failure to meet needs</p> <p>Responsibility to seek authorisation for any deprivation of liberty occurring in the hospital</p> | <p>R (Burke) v GMC [2005] EWCA Civ 1003; Aintree University Hospitals NHS FT v James [2013] UKSC 67</p> <p>NHS Act 2006 (as amended) s26, 63</p> <p>Criminal Justice and Immigration Act 2008, ss119-121 [and see NHS Protect guidance]</p> <p>Barnet PCT v X [2006] EWHC 787</p> <p>Care Act 2014, Schedule 3, Care and Support (Discharge of Hospital Patients) Regulations 2012, and Delayed Discharge (Continuing Healthcare) Directions 2013</p> <p>MCA Schedule A1, paras 1-3 , 24 and 76</p> |
| Local Authority      | Responsibility to assess a patient’s needs for care and support where it appears to the local authority that the patient may have such needs   | Care Act 2014 s9  |

|  |   |   |
|--|---|---|
|  | <p>Responsibility to assess a carer's needs for support and choice about caring</p> <p>Responsibility to provide patient's choice of accommodation in care home / shared lives / supported living, where this is to be arranged by the local authority, in some circumstances.</p> <p>Responsibility to provide information and support on choices</p> <p>Responsibility to offer choices / involve the patient in preparation of a care and support plan</p> <p>Responsibility to provide a Care Act advocate if a patient would experience substantial difficulty in participating in the assessment of need or care planning process unless there is another (unpaid) appropriate person to fill this role</p> <p>Responsibility to authorise deprivation of liberty in care homes and hospitals</p> | <p>Care Act 2014 s10</p> <p>Care Act 2014 s30, Care and Support and After-care (Choice of Accommodation) Regulations 2014</p> <p>Care Act 2014 s4</p> <p>Care Act 2014 s25</p> <p>Care Act 2014, s67</p> <p>MCA Schedule A1 paras 21, 50</p>  |
| Clinical Commissioning Group [and NHS England] | Responsibility to ensure an assessment for eligibility for NHS funded Continuing Healthcare where it appears that there may be a need for such care. [This is the responsibility for NHS England for military personnel and prisoners   | NHS Commissioning Board and Clinical Commissioning Groups (Responsibilities and Standing Rules) Regulations 2012, reg 21  |
| Patient  | <p>Right to assessment for care and support by local authority and for NHS Continuing Healthcare as appropriate</p> <p>No right to insist on particular treatment which is not clinically indicated, including provision of an acute inpatient bed when medically fit for discharge</p> <p>Right to be involved in decision making about care</p> <p>Right to choice of accommodation in care home / shared lives / supported living, where this is to be arranged by the local</p>   | <p>Care Act 2014, s9 and NHS Commissioning Board and Clinical Commissioning Groups (Responsibilities and Standing Rules) Regulations 2012, reg 21</p> <p>Barnet PCT v X [2006] EWHC 787; R (Burke) v GMC [2005] EWCA Civ 1003</p> <p>NHS Constitution</p> <p>Care Act 2014 s30, Care and Support and After-care (Choice of Accommodation)</p> |



|       |  |  |
|-------|--|--|
|       | <p>authority, in some circumstances (but no right to remain in hospital when medically fit for discharge while preferred choice is awaited)</p> <p>Right to respect for family life and to not be treated in an 'inhuman or degrading' way</p> | <p>Regulations 2014</p> <p>Human Rights Act 1998 s6 in relation to Articles 3 and 8 of the European Convention of Human Rights</p> |
| Carer | <p>Right to carer's assessment / support and choice about caring i.e. willingness to provide care</p>  | <p>Care Act 2014 s10</p>   |

## APPENDIX 4: SUPPORTING TEMPLATE FACTSHEET AND LETTERS



### FACTSHEET A: The Assessment and Discharge Process

We want to give you the support you need to get home as quickly as possible. Following a hospital admission, most patients are able to return home, sometimes with a care package or adaptations made to their home. However, some patients are unable to return home and need the added support only available in a care home.

We will involve you in all decisions about your care, treatment and discharge, and give you all the information and support you need to make the best decisions

#### What can you expect to happen?

- We will tell you when your treatment is due to end and when you would be considered well enough to leave hospital (this is called an estimated discharge date) – we aim to tell you this within 48 hours of you being admitted and will discuss with you if this changes.
- We will provide you with a named staff member who will support you throughout your time in hospital and make sure that things happen when they are supposed to.
- We will tell you how to access information, advice and support to help you make your discharge decision. This will include helping you to understand your care needs, the process of assessing your needs and the care options available to you. *[insert local details of how this information will be provided]*
- With your permission, we will request assessment(s) to find out what needs you have and the services you might need to be safely discharged from hospital. The assessments could be for social care, home assessment for any adaptations, eligibility for NHS continuing healthcare, etc.
- It may also be necessary to assess how any ongoing care will be funded, although in most circumstances to avoid any delay this will be carried out after you have been discharged. It is important to note that whilst NHS care is free to everyone, social care is not. Speak with your named staff member to find out what the time limits are for free care and what this might mean for you.
- Once you have received information about the discharge choices that are available to you, we request that you make a decision within 7 days. You may wish to arrange for yourself or a family member to meet with the care providers during this time. We will do our best to help make this possible for you and you

will be able to speak with [*insert local support arrangements*] about these choices.

- If your preferred choice is not available when you are ready for discharge, an alternative option can be arranged for you temporarily. It is not possible for you to wait in this hospital, *once you no longer need hospital care*.
- If you wish to make a complaint or appeal against any part of the discharge process then contact at any point [*insert details of local complaints and appeals procedures*].

If you would like a copy of this factsheet to be given to someone else or you have any questions, please speak to one of the nurses on your ward or any member of the team caring for you.

Please do not hesitate to ask questions about your discharge at any time during your hospital stay.

With best wishes for a speedy recovery,

[*insert NHS Trust Chief Executive signature*]



## CHOICE LETTER B1

Date: .....

Dear <Name>

### You now need to choose a care package at home

In order for you to receive the right on-going care we request that you take the following actions:

1. Consider the care at home options currently available to you;
  2. Choose one of these care at home options;
- OR
- Advise us of an alternative option that you have arranged.

We request that you make your decision within 7 days of receiving this letter {or insert a longer timeframe if letter is sent more than 7 days before the EDD}. We will arrange for a temporary package of care or accommodation to be made available to you if you need longer than 7 days to make your decision, or need to wait for your preferred care provider.

### Additional information to help you with your decision

The recent assessment looked at your care needs and wellbeing and showed that you will need a care package at home following discharge on {insert estimated discharge date}.

We want to help you leave this hospital as soon as possible because home is the best place for you to recuperate, and will give you more independence than being on a hospital ward.

To support you at this time we will ensure that:

- You now have all of the information about the choices currently available to you, including details of any costs, and you have spoken about this with a member of the team;
- You have access to further high quality information, advice and support to make your decisions [include details of where this can be accessed];
- This includes [include details of support service] and the option to involve your family, friends and carers to support you, as you wish.
- You can make a complaint or appeal at any stage of the discharge process by contacting [insert details of local complaints and appeals procedures].

Please do not hesitate to ask one of the nurses on your ward, or to any member of the team caring for you, if you have any questions or if you would like a copy of this letter to be given to someone else.

Yours sincerely,  
[letter to be signed by senior clinician]



## CHOICE LETTER B2

Date: .....

Dear <Name>

### You now need to choose a care home.

In order for you to receive the right on-going care we request that you take the following actions:

1. Consider the care home options currently available to you, including visiting any care homes;
2. Choose one of these care homes;  
OR  
Advise us of an alternative option that you have arranged.

We request that you make this decision within 7 days of receiving this letter {or insert a longer timeframe if letter is sent more than 7 days before the EDD}. We will arrange for temporary accommodation to be made available to you if you need longer than 7 days to make your decision, or need to wait for your preferred choice if it has no current vacancies.

### Additional information to help you with your decision

The recent assessment looked at your needs and wellbeing and showed that you will need to be discharged to a care home {insert for how long if a temporary placement} on {insert estimated discharge date}.

We want to help you leave this hospital as soon as possible because a care home is the best place for you to recuperate, and will give you more independence than being on a hospital ward.

To support you at this time we will ensure that:

- You now have all of the information about the choices currently available to you including details of any costs, and you have spoken about this with a member of the team;
- You have access to further high quality information, advice and support to make your decisions [include details of where this can be accessed];
- This includes [include details of support service] and the option to involve your family, friends and carers to support you, as you wish.
- You are able to make a complaint or appeal at any stage of the discharge process by contacting [insert details of local complaints and appeals procedures].

Please do not hesitate to ask one of the nurses on your ward, or to any member of the team caring for you, if you have any questions or if you would like a copy of this letter to be given to someone else.

Yours sincerely,

[letter to be signed by senior clinician]



## CHOICE LETTER B3

Date: .....

Dear <Name>

### You now need to choose an available housing option.

In order for you to receive the right on-going care we request that you take the following actions:

1. Consider housing support options currently available to you, including undertaking any visits;
2. Choose or agree to one of these housing support options;  
OR  
Advise us of an alternative option that you have arranged.

We request that you make this decision within 7 days of receiving this letter {or insert a longer timeframe if letter is sent more than 7 days before the EDD}. We will arrange for temporary accommodation to be made available to you if you need longer than 7 days to make your decision, or need to wait for your preferred choice if it has no current vacancies.

### Additional information to help you with your decision

Your recent assessment looked at your care needs and wellbeing. It showed that you will need support from housing support services before being discharged on {insert estimated discharge date}.

We want to help you leave this hospital as soon as possible because supported housing is the best place for you to recuperate, and will give you more independence than being on a hospital ward.

To support you at this time we will ensure that:

- You now have all of the information about the choices currently available to you, including details of any costs, and you have spoken about this with a member of the team;
- You have access to further high quality information, advice and support to make your decisions [include details of where this can be accessed];
- This includes [include details of support service] and the option to involve your family, friends and carers to support you, as you wish.
- You are able to make a complaint or appeal at any stage of the discharge process by contacting [insert details of local complaints and appeals procedures].

Yours sincerely,

[letter to be signed by senior clinician]



## CHOICE LETTER C1

Date: .....

Dear &lt;Name&gt;

### Notification of plan to transfer to interim care whilst waiting for a preferred home

We understand that you are well enough to leave hospital and move to a care home, but <you have not yet found one that you like> OR <the one you prefer is not able to offer you a room at this time>.

We do not wish to cause you or your family anxiety, but unfortunately you will not be able to stay at this hospital whilst you continue to <search> OR <wait> for a care home.

- Staying in a care home will allow you to recuperate and give you more independence than being on a hospital ward;
- A care home is the best place for you to continue your recovery once your acute illness is over;
- Severely ill patients may be unable to access services, if beds in this hospital are occupied with patients who are medically fit for discharge.

As it has taken longer than 7 days to organise your discharge, we are now offering to transfer you to temporary accommodation in the following location, which has been assessed as suitable to meet your short-term needs because <insert reason for decision>. This will be funded by <insert organisation(s)> for <x> weeks<sup>31</sup>. Beyond <x> weeks the costs of this care will need to be met by <insert responsible organisation or by you>.

|   |                            |
|---|----------------------------|
| Discharge destination:                                    | <Name of location>         |
| Address:  | <Address of location>      |
| Tel number:   | <Phone number of location> |
| Proposed date of transfer/discharge:<br>UHSM Planned date | <Discharge date>           |

You will be offered further support with any decisions you need to make and you can wait there until transfer to a preferred home can be arranged.

Please discuss discharge plans with <insert name and contact details>. You will need to either transfer to the temporary accommodation outlined above or inform us of an alternative arrangement to leave the hospital without further delay.

If you would like a copy of this letter to be given to someone else or you have any questions please speak to one of the people below or any member of the team caring for you.

<sup>31</sup> Local organisations that have supported the development of this template policy recommend a funded placement of 3 weeks in order to ensure the policy works in practice and can be implemented easily by staff. This prevents multiple transfers in quick succession and enables time for full assessments to be completed well.

If you would like to make a complaint or appeal against this decision then please [insert details of local complaints and appeals procedures].

Please do not hesitate to ask if you have any questions.

Yours sincerely, [letter to be signed by senior clinician]





## CHOICE LETTER C2

Date: .....

Dear <Name>

### Notification of plan to transfer to interim care whilst waiting for preferred care at home services

We understand that you are well enough to leave hospital with care at home but <you have not yet found a care service that you like> OR <the care service you prefer is not able to accommodate you at this time>.

We do not wish to cause you or your family anxiety but unfortunately you will not be able to stay at this hospital whilst you continue to <search> OR <wait> for a care at home package.

- Leaving hospital will allow you to recuperate and give you more independence than being on a ward;
- Severely ill patients may be unable to access services, if beds in this hospital are occupied with patients who are medically fit for discharge.

As it has taken longer than 7 days to organise your discharge, we are now offering to transfer you to temporary accommodation in the following location, which has been assessed as suitable to meet your short-term needs because <insert reason for decision>. This will be funded by <insert organisation(s)> for <x> weeks<sup>32</sup>. Beyond <x> weeks the costs of this care will need to be met by <insert responsible organisation or by you>.

|                                      |                            |
|--------------------------------------|----------------------------|
| Discharge destination:               | <Name of location>         |
| Address:                             | <Address of location>      |
| Tel number:                          | <Phone number of location> |
| Proposed date of transfer/discharge: | <Discharge date>           |

You will be offered further support there with any decisions you need to make and you can wait there until your preferred care at home package can begin.

Please discuss discharge plans with <insert name and contact details>. You will need to either transfer to the temporary accommodation outlined above or inform us of an alternative arrangement to leave the hospital without further delay.

If you would like a copy of this letter to be given to someone else or you have any questions please speak to one of the people below or any member of the team caring for you.

If you would like to make a complaint or appeal against this decision then please <insert details of local complaints and appeals procedures>.

Please do not hesitate to ask if you have any questions.

<sup>32</sup> Local organisations that have supported the development of this template policy recommend a funded placement of 3 weeks in order to ensure the policy works in practice and can be implemented easily by staff. This prevents multiple transfers in quick succession and enables time for full assessments to be completed well.

Yours sincerely,  
[letter to be signed by senior clinician]



## CHOICE LETTER C3

Date: .....

Dear <Name>

### Notification of plan to transfer to interim care whilst waiting for housing support services

We understand that you are now well enough to leave hospital but require housing support services <that are not yet completed> OR <that you have not yet decided upon>.

- We do not wish to cause you or your family anxiety but unfortunately you will not be able to stay at this hospital whilst you continue to <wait> OR <decide> upon housing support services.
- Leaving hospital will allow you to recuperate and give you more independence than being on a ward;
- Severely ill patients may be unable to access services, if beds in this hospital are occupied with patients who are medically fit for discharge.

As it has taken longer than 7 days to organise your discharge, we are now offering to transfer you to temporary accommodation in the following location, which has been assessed as suitable to meet your short-term needs because <insert reason for decision>. This will be funded by <insert organisation(s)> for <x> weeks<sup>33</sup>. Beyond <x> weeks the costs of this care will need to be met by <insert responsible organisation or by you>.

|                                      |                            |
|--------------------------------------|----------------------------|
| Discharge destination:               | <Name of location>         |
| Address:                             | <Address of location>      |
| Tel number:                          | <Phone number of location> |
| Proposed date of transfer/discharge: | <Discharge date>           |

You will be offered further support there with any decisions you need to make and you can wait there until the housing support services <are completed> OR <are available>.

Please discuss discharge plans with <insert name and contact details>. You will need to either transfer to the temporary accommodation outlined above or inform us of an alternative arrangement to leave the hospital without further delay.

If you would like a copy of this letter to be given to someone else or you have any questions please speak to one of the people below or any member of the team caring for you.

If you would like to make a complaint or appeal then please [insert details of local complaints and appeals procedures].

<sup>33</sup> Local organisations that have supported the development of this template policy recommend an interim funded placement of 3 weeks in order to ensure the policy works in practice and can be implemented easily by staff. This prevents multiple transfers in quick succession and enables time for full assessments to be completed well. This timescale is specifically for interim placements not intermediate care or reablement pathways.

Please do not hesitate to ask if you have any questions.

Yours sincerely, [*letter to be signed by senior clinician*]



## CHOICE LETTER D

Date: .....

Dear &lt;Name&gt;

### Confirmation of discharge plans following formal meeting

Thank you for meeting with us on <insert date> to discuss your discharge arrangements from this hospital and on-going care requirements.

**OR**

{Dr ??} and the discharge team met in your absence on <insert date> to discuss your discharge arrangements from this hospital and on-going care requirements.

### Discharge options discussion

We want to help you leave this hospital as soon as possible now you no longer need hospital care. A hospital ward is not the best place for you to continue your recovery and other types of services are now better equipped to support your needs. In addition we have a responsibility to make sure that beds on our wards are available for people who need treatment that can only be provided in a hospital.

At the meeting we discussed the following points:

<insert summary discussion here>.

We discussed the following options to enable the discharge process to proceed:

<insert options provided here>.

### Discharge plan discussion

The following discharge plan was agreed:

<insert agreed next steps here>.

**OR**

We noted the reasons why you are unwilling to engage with this process:

<insert reasons here>.

The risks of you refusing the care options provided after being discharged from NHS hospital care were also discussed and identified:

<insert risks identified here>.

We will continue to work with you to try to come to a mutually agreeable solution. However, in the meantime the hospital will now need to consult our legal advisers about your situation and how we can arrange for you to be safely discharged from this hospital as soon as possible. We have a responsibility to consider and to ensure your health and wellbeing throughout this process. You also have the right to consult with your own legal advisers.

If you would like a copy of this letter to be given to someone else or you have any questions please speak to one of the people below or any member of the team caring for you.

If you would like to make a complaint or appeal against any part of the discharge process then please [insert details of local complaints and appeals procedures].

Please do not hesitate to ask if you have any questions.

Yours sincerely, [letter to be signed by senior clinician]



## **Supporting Patients Choice to Avoid Long Hospital Stays Policy – Draft Policy Framework for Funding and Commissioning Interim Support**

### **Supporting Patients Choice to Avoid Long Hospital Stays Policy**

The Draft Policy Framework for Funding and Commissioning Interim Support is designed to support the new Supporting Patients Choice to Avoid Long Hospital Stays Policy and Procedures across Lancashire and South Cumbria.

It is expected that the framework will be reviewed and updated when the new Discharge to Assess model for Lancashire and South Cumbria is developed and implemented. Interim Support are not 'discharge to assess' beds and should not be used in this way.

### **Background and Purpose to the Framework**

The four Directors of Adult Social Care across the STP footprint are committed to working in partnership with colleagues from the NHS to reduce long stays in hospital and agree a single Supporting Patients Choice to Avoid Long Hospital Stays Policy. Whilst work is taking place to produce a single policy and standardised procedures across Lancashire and South Cumbria, it has been identified there are number of funding issues in relation to interim Support which need to be considered and agreed, to enable the new ways of working to be effective.

This paper aims to set out a framework for interim Support outlining commissioning, funding and case management responsibilities.

### **What is an Interim Support?**

An Interim Support is a short term stay in a residential or nursing home but can also be a package of care which would be offered to people who are medically fit for discharge in a hospital bed, but are experiencing an extended wait for their ideal support service to be sourced or to commence. Interim Support are also sometimes referred to as 'step out beds' but can also be care at home. Interim Support will be offered to a patient in line with the new policy where a decision on how to meet the person's need has been made but either the specific package, support, or adaptation is not readily available, or in circumstances where the patient refuses the alternative service offered.

### **Who will interim Support be appropriate for?**

- Service users who have already been assessed by Adult Social Care or the NHS or are a Self-Funder, and are waiting for a home care or reablement package of support or for a bed in a specific residential or nursing home that is not yet available.
- Service users who are experiencing an extended wait for agreed essential works to be carried out on their home environment to ensure a safe discharge
- Service users who are awaiting a full Continuing Health Care assessment or decision.
- Service Users who have been offered an alternative service where their ideal or preferred service is not immediately available, and have refused this

### **Interim Support are not appropriate for?**

- Interim Support are not suitable for Service users who still require rehabilitation or a high level of therapeutic input that cannot be provided in the community.

### **People who Lack Capacity**

Where a patient lacks capacity to make decisions about whether they should be discharged into an Interim Placement or home with a support package the principles of the Mental Capacity Act 2005 should be followed. Please refer to Appendix 2 within the Supporting Patients Choice to Avoid Long Hospital Stays Policy.

### **Financial Impact for Local Authorities**

Within the new Supporting Patients Choice to Avoid Long Hospital Stays Policy, once the available options have been discussed with the patient they have up to seven consecutive days to consider these. If discharge is not achieved within these 7 days, discussions then commence regarding Interim Support. There are potential additional costs to Local Authorities as previously the patient may well have remained in Hospital for a longer period to await their ideal service commencing, at little or no cost to Adult Social Care. Where an Interim Support is to be commissioned and funded by Adult Social Care as part of the new policy, in many cases this will be period of increased cost to the Local Authority – especially where the ideal service is one based in the person's own home.



**Interim Support Framework** - The framework aims to set out the commissioning, funding and case management responsibilities of each organisation for interim Support against specific discharge pathways (excluding Discharge to Assess) to reduce long term stays in hospital.

|    | Scenario<br>↓                 | Definition  | Funding Responsibility for ideal service | Designated Contracting/ Commissioner of ideal service provision on discharge  | Funding Responsibility for <u>INTERIM SUPPORT</u> due to delay | Responsible Organisation for Case Management in <u>INTERIM SUPPORT</u> | Duration of funding following discharge into <u>INTERIM SUPPORT</u> | Proposed Adult Social Care (ASC) position                               |
|----|-------------------------------|---|--|---|--|--|---|---|
| 1a | <b>Homecare Package Delay</b> | Assessment completed, patient requires domiciliary homecare. Care package has been sourced but cannot commence when required OR no care provider yet secured.   | Self-Funder                              | Self-Funder (may request support from ASC to source & commission care package)  | Service User/NHS   | Service User/NHS   | Until start date of care package starts                             | No decision required  |
| 1b | <b>Homecare Package Delay</b> | Assessment completed, patient requires domiciliary homecare (includes service users where ASC source commission and manage the service on behalf of an individual paying full cost of the service – known as 'full cost' service users). Care package has been sourced but cannot commence when required OR no care provider yet secured. | Adult Social Care                        | Adult Social Care (includes service users where ASC source, commission and manage the service on behalf of an individual paying full cost of the service) | Adult Social Care – Charging Policy Applies.                   | Adult Social Care  | Until start date of care package starts – charging policy applies   | ASC will charge the individual the Dom Care rate during interim Support |
| 1c | <b>Homecare Package Delay</b> | Assessment completed, patient requires domiciliary homecare. Care package has been sourced but cannot commence when required OR no care provider yet secured.   | NHS - CHC                                | NHS   | NHS  | NHS  | Until start date of care package starts                             | No decision required  |
| 1d | <b>Homecare Package Delay</b> | Assessment completed, patient requires domiciliary homecare. Funding is agreed between the NHS & ASC. Care package has been sourced but cannot commence when required OR no care provider yet secured.  | Joint NHS & Adult Social Care            | Adult Social Care   | Adult Social / NHS shared                                      | Adult Social Care  | Until start date of care package                                    | Support be funded in the same ratio as the ideal service funding ratio  |
| 2  | <b>Reablement</b>             | Assessment completed, Service user  | ASC/NHS                                  | Adult Social Care   | Adult Social   | Adult Social   | Until Reablement  | Preferred pathway is  |

|           | Scenario                             | Definition   | Funding Responsibility for ideal service | Designated Contracting/ Commissioner of ideal service provision on discharge | Funding Responsibility for <u>INTERIM SUPPORT</u> due to delay | Responsible Organisation for Case Management in <u>INTERIM SUPPORT</u> | Duration of funding following discharge into <u>INTERIM SUPPORT</u>  | Proposed Adult Social Care (ASC) position    |
|-----------|--------------------------------------|--|--|--|--|--|--|--|
|           | <b>Service Delay</b>                 | requires Reablement. . Reablement has been sourced but cannot commence when required.  | (BCF)                                    |  | Care   | Care   | start date.  | through rehab beds if available              |
| <b>3a</b> | <b>Adaptation or equipment delay</b> | Assessment completed. Service user waiting for home improvement or equipment to be installed and is unable to return home until this takes place.  | Adult Social Care (or DFG)               | Adult Social Care (or District Council via DFG)                              | Adult Social Care – Charging Policy Applies.                   | Adult Social Care  | Until work completed and service user can return home-charging policy applies  | Homecare rate charged during Interim Support |
| <b>3b</b> | <b>Adaptation or equipment delay</b> | Assessment completed. Service user waiting for home improvement or equipment to be installed and is unable to return home until this takes place.  | NHS                                      | NHS  | NHS  | NHS  | Until work completed and service user can return home-charging policy applies  | No decision required                         |
| <b>4a</b> | <b>Home of Choice</b>                | Assessment completed. Service user's preferred Residential or nursing care Support not immediately available or family unable to assist quickly enough - service user <u>will</u> accept interim alternative Support | Self-Funder                              | Self-Funder (may request support from ASC to source Support)                 | Self-Funder  | Self-Funder  | Self-Funder  | No decision required                         |
| <b>4b</b> | <b>Home of Choice</b>                | Assessment completed. Service user's preferred Residential or nursing care Support not immediately available or family unable to assist quickly enough - service user <u>will</u> accept interim alternative Support | Adult Social Care                        | Adult Social Care  | Adult Social Care – Charging Policy applies                    | Adult Social Care – ongoing support to achieve preferred Support       | Until preferred Support is available, or decision made to remain in interim Support charging policy applies. Refer to section 30 of care Act regarding Top Up's. | No decision required                         |
| <b>4c</b> | <b>Home of</b>                       | Assessment completed. Service  | NHS                                      | NHS  | NHS  | NHS  | Process and  | No decision required                         |

|           | Scenario  | Definition   | Funding Responsibility for ideal service | Designated Contracting/ Commissioner of ideal service provision on discharge | Funding Responsibility for <u>INTERIM SUPPORT</u> due to delay   | Responsible Organisation for Case Management in <u>INTERIM SUPPORT</u> | Duration of funding following discharge into <u>INTERIM SUPPORT</u>        | Proposed Adult Social Care (ASC) position  |
|-----------|---|--|--|--|--|--|--|--|
|           | <b>Choice</b>   | user's preferred Residential or nursing care Support not immediately available or family unable to assist quickly enough - service user <u>will</u> accept interim alternative Support   |  |  |  |  | management to be determined by NHS   |  |
| <b>4d</b> | <b>Home of Choice – Escalation process commenced (potential eviction from Hospital)</b> | Assessment completed and service option identified but not available quickly enough or service user has not chosen preferred Support. The Policy has been followed and service user or representative <u>refuses</u> to accept alternative options offered to support discharge.                 | Self-Funder or Adult Social Care or NHS  | Self-Funder or Adult Social Care or NHS                                      | NHS, but close liaison to take place with ASC where there will be a transfer of funding responsibility, to avoid unaffordable ongoing costs. | NHS until individual accepts Council involvement                       | Until full assessment is completed and support plan agreed and implemented | Proposal to pool financial risk on this across Health and Social Care system.<br><br>Expected to be a very small cohort of people but costs need to be closely monitored during initial months |
| <b>5a</b> | <b>CHC Assessment</b>   | Full assessment not yet completed. Service user triggers on the Continuing Health Care checklist and is awaiting full CHC DST assessment.<br><br>CHC Framework guidance applies in that the NHS is responsible for funding all care provision until the CHC assessment and decision takes place. | NHS                                      | NHS  | NHS (CHC Framework guidance applies as per 'Definition' column)  | NHS (CHC Framework guidance applies as per 'Definition' column)        | Until CHC assessment is completed and decision made.                       | NHS to fund 7 days to ensure consistency with national CHC guidance  |

**Table Glossary:**

**Definition** – Definition of each scenario to be considered and stage in the assessment process

**Funding Responsibility for Ideal Service** – Is the service user a self-funder or determining which organisation is responsible for that services users on going care.

**Designated Contractor/Commissioner of Ideal Service Provision on Discharge** - This is the organisation who is responsible for commissioning and arranging the ideal service and would hold a contract with the service providers.

**Funding Responsibility for Interim Support** – This is who would be responsible for funding any interim Support required due to the ideal service being delayed, and to which organisations the charging policy applies.

**Responsible Organisation for Case Management in the Interim Support** - This is the organisation who is responsible for case managing Service users during their time in an interim Support. This organisation will have responsibilities for the service user and must communicate with all relevant stakeholders. They must ensure clear hand over procedures are in place and relevant IT systems are updated.

**Duration of Funding Following Discharge into an Interim Support**– Outlines how long the responsible organisation/person will fund the interim Support.

**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of Asset Management****Part I**

Electoral Divisions affected:  
Chorley Rural East, and  
Cleveleys East

**Proposals relating to Library Buildings**

(Appendices 'A' and 'B' refer)

Contact for further information:

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**Executive Summary**

This report outlines proposals in relation to the provision of library facilities and also considers options in relation to premises where Community Asset Transfer requests have been received.

This is deemed to be a Key Decision and the provisions of Standing Order No. 26 have been complied with.

**Recommendation**

The Cabinet is recommended to agree:

- (i) To operate a full library service from Adlington Library.
- (ii) To rescind the decision to declare surplus the Adlington Library and Children's Centre building.
- (iii) To approve in principle the community asset transfer of Cleveleys Library and Children's Centre, subject to successfully meeting the criteria set out in the Community Asset Transfer Policy including among other items VAT implications and clawback provisions subject to final approval of the Cabinet.
- (iv) To approve in principle the establishment of an independent community library at Cleveleys Library and Children's Centre subject to successfully meeting the criteria set out in the Community Asset Transfer policy.

(v) That the cost of capital works estimated at £0.849m in order to re-open 11 libraries that were previously closed, as agreed by Cabinet to date, be funded from the Libraries Re-instatement Capital Allocation of £1.571m as set out at Appendix 'B'.

## **Background and Advice**

At the meeting held on 13 July 2017 Cabinet approved a report setting out proposals for the re-opening of Libraries across Lancashire. This report clarifies proposals in relation to a further two library buildings which are both subject to live proposals for Community Asset Transfer (CAT).

The community group, Friends of Adlington Library (FoAL) has submitted a detailed application relating to Adlington Library and Children's Centre which has been accepted in principle. FoAL has subsequently indicated that, notwithstanding their application, they would prefer the County Council to operate a Library Service rather than progress a CAT.

The community organisation, UR Potential, has submitted a detailed application for the community asset transfer of Cleveleys Library and Children's Centre where the group proposes to establish an independent community library. This proposal has not yet received approval. Detail relating to the proposal is set out at Appendix 'A' for consideration.

If the proposals set out in this report are agreed, the library service will deliver through one additional building (Adlington Library) bringing the total to 57, each of which will be a staffed facility with appropriate opening hours. Should the application for asset transfer progress (Cleveleys Library and Children's Centre) this will bring the number of independent community libraries in development to six.

## **Proposals relating to Buildings**

Library service delivery from Adlington Library and Children's Centre has not yet ceased as it remains open with financial support from Chorley Borough Council, the agreement for which is due to end on 31 March 2018. If agreed, this proposal will see the County Council retain Adlington Library and Children's Centre building and the library service will continue to be provided from that location beyond the term of the agreement with Chorley Council.

## **Community Asset Transfer and provision of Independent Community Libraries**

This report sets out details of an application to establish an Independent Community Library in Cleveleys Library and Children's Centre received from UR Potential. As set out in Appendix 'A', the application is considered to be acceptable for agreement in principle, subject to successfully meeting the criteria set out in the Community Asset Transfer Policy.

## **Consultations**

N/A

## **Implications:**

This item has the following implications, as indicated:

### **Financial**

The estimated cost of continuing to provide a library service at the Adlington Library and Children's Centre building when the current financial support from Chorley Borough Council ceases on 31<sup>st</sup> March 2018 is £0.062m per annum for staffing and running costs and £0.004m for non-recurrent costs (one-off costs such as ICT).

The Government introduced flexibility for capital receipts to be used to fund revenue expenditure that meets certain criteria. As part of the County Council's budget for 2017/18 a value of £12.500m income from capital receipts is budgeted for with a further £5.000m built into the Medium Term Financial Strategy for 2018/19. It is important to note that the decision to retain and approve in principle the community asset transfer of the libraries within this report may impact on the achievement of the required value of capital receipts and consequently any associated revenue expenditure that was/is dependent upon the same. This will be monitored closely throughout this financial year.

A number of the library buildings that are to be retained require some repairs and maintenance and capital works due to their condition. Surveys have been carried out to ascertain the value of these works which will be predominantly capital works. An estimated value of £1.571m was included within the "Revisions to the 2017/18 Budget" paper approved by Full Council in July 2017.

It was agreed that a further report would be submitted to Cabinet detailing the estimated capital allocations required for works. A breakdown of the estimated capital allocations required in relation to the re-opening of 11 library buildings agreed by Cabinet to date is set out at Appendix 'B' for approval. These will be continuously reviewed as part of the Capital monitoring process.

Appendix B estimates capital costs to be £0.849m for those library buildings that it has been agreed will reopen. This includes expenditure relating to furniture, IT and other one-off costs, which upon review has been agreed to be recognised as capital expenditure (provision had been made within the Transitional Reserve to support this expenditure and therefore will no longer be required). However, there is a risk that due to additional items being included as capital expenditure that there will be a shortfall in the capital programme, as estimates are still being collated and decisions to be taken around some libraries at this stage a risk is highlighted and will be addressed as future reports are presented to Cabinet that outline estimated costs.

## Human Resources

Following the transformation process in 2016, the library service currently carries approx. 20 actual vacancies and is stretched over an additional number of libraries some of which are currently open as an interim measure. Adding the current vacancies to the additional vacancies as a consequence of reopening libraries, could equate to approx. 100 actual vacancies in total which include both part-time and full-time posts across a range of grades. As such there will need to be additional recruitment in order to effectively deliver the service across a greater number of premises. The lead in time for recruitment can take upwards of eight weeks to complete following which the induction and training of new employees will also be required prior to operational delivery.

## Property Asset Management

In order to facilitate the delivery of library services as set out above, the Cabinet is asked to rescind the decision to declare surplus Adlington Library and Children's Centre.

As a result of the community asset transfer in relation to Cleveleys' Library and Children's Centre noted above, it is possible that this could have a negative impact on the capital receipts which are built into the revenue budget from 2016/17 – 2018/19. This will continue to be monitored as part of the regular reviews of the County Council's Medium Term Financial Strategy.

## Procurement

The selection of contractors to undertake the capital works will be carried out in full compliance with the Public Contract Regulations 2015, either through the use of an established framework such as the rotational list for building works, the Partnering Framework, or through undertaking a compliant procurement exercise where appropriate.

## List of Background Papers

| Paper  | Date        | Contact/Tel               |
|--|-------------|---------------------------|
| The Property Strategy (Neighbourhood Centres) Response to Consultation | 8&26/9/2016 | Steve Browne/01772 534121 |
| Community Asset Transfer and Independent Community Libraries           | 7/12/2016   | Mel Ormesher/01772 536966 |
| Community Asset Transfer and Independent Community Libraries           | 23/1/2017   | Mel Ormesher/01772 536966 |
| Community Asset Transfer and Independent Community Libraries           | 9/3/2017    | Mel Ormesher/01772 536966 |



|  |           |                           |
|--|-----------|---------------------------|
| Property Strategy (Neighbourhood Centres) - Community Asset Transfer and Independent Community Libraries   | 6/4/2017  | Mel Ormesher/01772 536966 |
| Property Strategy - Community Asset Transfer, Independent Community Libraries and vacated Children's Centres on school sites   | 27/4/2017 | Mel Ormesher/01772 536966 |
| Rescinding of the Deputy Leader's Approval to dispose of Fulwood and Barrowford Library and withdraw Fulwood Library, Barrowford Library, Earby Library, Freckleton Library, Whalley Library & Spring Wood Children's Centre & Lostock Hall Library & Children's Centre from the market for Sale | 24/5/2017 | Gary Pearse/01772 533903  |
| Proposals relating to Library Buildings which were closed/proposed for closure as part of the Property Strategy (Neighbourhood Centres)  | 13/7/2017 | Mike Kirby/01772 533285   |
| Proposals relating to Library Buildings  | 10/8/2017 | Mel Ormesher/01772 536966 |
| Community Asset Transfer (Part II)   | 10/8/2017 | Mel Ormesher/01772 536966 |

Reason for inclusion in Part II, if appropriate

N/A



## **Request for approval in principle to a Community Asset Transfer and Independent Community Library offer for Cleveleys Library and Children's Centre, Rossall Road, Thornton-Cleveleys, Wyre, Lancashire FY5 1EE.**

### **Background**

Cleveleys Library and Children's Centre was declared surplus to requirements at the Cabinet meeting held on the 8 September 2016. Cabinet also endorsed the proposed model for an "Independent Community Library Offer".

A detailed application was submitted by UR Potential who propose to take over the running of the building through the Community Asset Transfer process. In accordance with the Community Asset Transfer Policy, the assessment of the detailed application to date has focussed on:

- The proposals for the use and maintenance of the asset
- Information about the organisation such as legal status and governance arrangements
- The capacity of the community based groups to manage (and insure) the asset
- Financial resources / disclosure of connections / bankruptcies etc.
- Risks and management
- Benefits to the Council, the community based group and the wider community of the proposed future use

The proposals for CAT were established on the basis that in the first instance a transfer would result in communities taking on the full costs of running the building and/or providing any services and as a result, no financial support or otherwise will be available from the County Council once a transfer is complete. Further guidance on the terms of transfer was agreed by Cabinet at its meeting in August 2017. Other users of the premises would also be restricted to the granting of short-term sessional use licences so that no commercial relationship of landlord and tenant nature arises.

Where communities are interested in taking on responsibilities for both library service provision and the building asset, the Council will provide some additional help to communities who have submitted an expression of interest to take on Council-owned buildings and who wish to use those for the continued delivery of a library service, to local people, for the benefit of the community, as an addition to the statutory library service.

The initial offer to communities to help them become established as Independent Community Libraries includes:

- A one-off payment of £5000 to help communities with any initial costs of setting up independent provision
- Providing shelving
- Providing an initial supply of books from the Council's bookstore
- Advice and guidance from a Community Library Development Officer. This will be a time limited role in place to 31/12/2018 and will be primarily focused on skills transfer to enable communities to sustain provision in the long term.

When independent community library provision is operational the Council will continue to provide support through:

- An annual grant of £1000 to help the community to provide some form of public internet access
- Access to the Council's stock request service, enabling people to request additional books from the Council's library catalogue and for those to be delivered to the Independent Community Library, on a weekly basis, if required.

This report outlines the application for consideration in determining whether it should progress. Discussions with the organisation indicates that the disposal to the organisation is likely to contribute to the promotion or improvement of the economic, social and environmental well-being of the area and its residents.

## **UR Potential**

UR Potential was established over seven years ago and has existing premises in Blackpool, which they have managed for four years. Their Directors and trustees have knowledge and experience in managing the finances of their organisation, buildings management and buildings maintenance. The organisation has disclosed a series of successful and in progress grant and funding applications. They have also identified funding from their reserves for any improvement work or developments they may wish to make should the asset transfer go ahead.

The organisation forms part of the One Lancashire consortium and operates extensively across Fylde and Wyre, supporting people in the local community. Early advice from procurement indicates that there won't be state aid or procurement issues but this will be an element of ongoing investigation. The organisation understands that they cannot deliver any existing or future LCC contracts from the site in Cleveleys or apply for LCC funding in relation to the site should the application be successful. This condition would be detailed in the Heads of Terms agreed for the site.

UR Potential's overarching aim is to develop a youth and community provision for people living in Cleveleys and the surrounding area. Their vision for the site is to have a vibrant community hub that is a centre of excellence in community cohesion and education. They also intend to use the site to deliver a number of objectives around accessible, community-based learning, reducing digital exclusion and social

isolation. The proposal includes an Independent Community Library which will be a universal provision and includes a children's and families corner. UR Potential aim to offer volunteering opportunities and support for job seekers through skills development and strengthened partnerships with the local job centre.

In order to better understand and serve local needs, UR Potential have already engaged with the community through social media groups and through face to face meetings with relevant individuals and community groups. To ensure that the building will continue to engage with and serve the needs of the local community UR Potential intend to bring together key stakeholders to develop an implementation plan for the development and future delivery/success of the building.

## **Implications**

In giving approval in principle to the community asset transfer of Cleveley's Library and Children's Centre, an estimated capital receipt of £175,000 would be forgone. An agreement in principle to Community Asset Transfer is subject to each applicant organisation satisfying further financial interrogation in relation to financial projections for the long term sustainability of the proposal; the new legal operating structure to satisfy minimum legal requirements of Community Asset Transfer; agreement and approval of property terms of transfer; where required an agreement and approval of a transfer agreement (terms upon which the 'undertaking' (business, assets, contracts, employees etc. is transferred), a funding agreement and any associated loan agreement (books etc.) and all other due diligence checks being satisfactorily concluded.

All proposals and supporting business plans submitted as part of the Community Asset Transfer process will be subject to financial interrogation as part of due diligence, including credit checks of the organisation and/or individuals involved. In this instance, further interrogation of the financial projections will be required before Cabinet can give final agreement to the transfer can occur.

Section 123(1) of the Local Government Act 1972 provides that subject to the further provisions of the section, a council may dispose of land held by them in any manner they wish. Section 123(2) of that Act stipulates that except with the consent of the Secretary of State, a council shall not dispose of land under Section 123, otherwise than by way of a short tenancy (generally a tenancy for less than 7 years), for a consideration less than the best that can be reasonably obtained.

By virtue of the Local Government Act 1972: General Disposal Consent (England) 2003, the Secretary of State has given consent generally to a disposal for a consideration less than the best that can reasonably be obtained in the circumstances ("The Well-Being Provisions").

The circumstances are that:

- a) The Authority considers that the purpose for which the land is to be disposed is likely to contribute to the achievement of any one, or more of the following objectives in respect of the whole or any part of its area, or of all or any persons resident or present in its area:
  - (i) The promotion or improvement of economic well-being.
  - (ii) The promotion or improvement of social well-being.
  - (iii) The promotion or improvement of environmental well-being and
  
- b) The difference between the unrestricted value of the land to be disposed of and the consideration of the disposal does not exceed £2,000,000 (two million pounds).

In determining whether or not to dispose of land for less than the best consideration reasonably obtainable, and whether or not a proposal falls within the terms of the General Consent, the County Council should ensure that it complies with normal and prudent commercial practices, including obtaining a view of a professionally qualified valuer as to the likely amount of undervalue. If applicable, the authority should have regard to its community strategy when exercising the Well-Being Powers.

## **Legal**

Whilst the County Council does not generally perceive that there will be state aid or TUPE implications in respect of the majority of the community transfer assets, specific consideration will be given on a case by case basis.

The terms of a transfer will also be considered in line with the Community Asset Transfer guidance as agreed at Cabinet in August 2017. Consideration for the transfer is usually a nominal sum be it a £1 or a peppercorn. Restrictions and obligations as to use will be included within the lease and transfer and protected by various methods such as a legal charge, deed of covenant, right of pre-emption and right of re-entry. Where a building is transferred under the community asset transfer policy it shall be used for the purpose identified within the approved business case. Any substantial deviation from this will be by consultation with the county council.

All organisations will also be expected to satisfy the minimum legal entity requirements of the Community Asset Transfer process.

## **Procurement**

The future use of a property will be restricted to ensure that the beneficiary organisation is not able to use that property in connection with the delivery of services on a commercial basis to LCC. This needs to be done to ensure that such organisations can continue to bid for LCC contracts in a way that does not see them given an unfair advantage compared with other potential bidders.

## **Recommendations**

1. To approve in principle the community asset transfer of Cleveleys Library and Children's Centre subject to successfully meeting the criteria set out in the Community Asset Transfer Policy including among other items VAT implications and clawback provisions subject to final approval of the Cabinet.
2. To approve in principle the establishment of an independent community library at Cleveleys Library and Children's Centre subject to successfully meeting the criteria set out in the Community Asset Transfer policy.





# Appendix B

## Re-instatement of Libraries: Capital Costs

| Library         | Furniture (£)            | P1 Condition Works (£)  | P2 Condition Works (£)   | BTLS Costs (£)           | *Other Project Related Costs (£) | **Total Out Turn Including BTLS Costs (£) |
|-----------------|--------------------------|-------------------------|--------------------------|--------------------------|----------------------------------|---|
| Silverdale      | 1,000.00                 | -                       | 5,878.00                 | 3,000.00                 | 7,272.36                         | <b>17,150.36</b>                          |
| Oswaldtwistle   | 3,000.00                 | 7,690.00                | 15,800.00                | 6,000.00                 | 17,042.58                        | <b>49,532.58</b>                          |
| Parbold         | 3,000.00                 | 1,458.00                | 37,961.00                | 12,500.00                | 26,765.86                        | <b>81,684.86</b>                          |
| Thornton        | 3,000.00                 | 3,537.00                | 35,438.00                | 12,500.00                | 29,808.26                        | <b>84,283.26</b>                          |
| Bolton-le-sands | 25,000.00                | 360.00                  | 4,260.00                 | 12,500.00                | 19,589.60                        | <b>61,709.60</b>                          |
| Whalley         | 25,000.00                | 160.00                  | 28,650.00                | 12,500.00                | 29,776.90                        | <b>96,086.90</b>                          |
| Freckleton      | 25,000.00                | 3,546.00                | 18,443.00                | 12,500.00                | 34,294.56                        | <b>93,783.56</b>                          |
| Fulwood         | 25,000.00                | 6,473.00                | 3,920.00                 | 12,500.00                | 62,661.06                        | <b>110,554.06</b>                         |
| Barrowford      | 25,000.00                | -                       | 11,457.00                | 12,500.00                | 18,868.08                        | <b>67,825.08</b>                          |
| **Lostock Hall  | 30,000.00                | 1,600.00                | 66,261.00                | 12,500.00                | 76,151.66                        | <b>186,512.66</b>                         |
| Burnley Campus  | £<br>-                   | £<br>-                  | £<br>-                   | £<br>-                   |                                  | £<br>-                                    |
|                 | <b><u>165,000.00</u></b> | <b><u>24,824.00</u></b> | <b><u>228,068.00</u></b> | <b><u>109,000.00</u></b> | <b><u>322,230.92</u></b>         | <b><u>849,122.92</u></b>                  |



**Report to the Cabinet**

Meeting to be held on Thursday, 14 September 2017

**Report of the Head of Libraries, Museums, Culture and Registrars****Part I**Electoral Divisions affected:  
All**Revised Library Strategy which incorporates a revision of Library byelaws and a proposal to consult on Library Opening hours**

(Appendices 'A' to 'C' refer)

Contact for further information: Julie Bell, (01772) 536727, Head of Libraries, Museums, Culture and Registrars [julie.bell@lancashire.gov.uk](mailto:julie.bell@lancashire.gov.uk)**Executive Summary**

This report presents a revision of the Library Strategy, building on the strengths of the existing strategy by encouraging the engagement of communities in the delivery of sustainable library services. The report also proposes a revision of the library byelaws and consultation with the public and staff on library opening hours.

**Recommendation**

Cabinet is recommended:

- (i) To consider the revised Library Strategy, as set out at Appendix 'A', and agree that it be submitted to Full Council for approval.
- (ii) To consider the revised Library byelaws, as set out in Appendix 'B', and request the Full Council to approve the submission of the byelaws to the Department for Digital, Culture, Media and Sport for confirmation by the Secretary of State, and agree that subject to the confirmation being received the byelaws be formally adopted and sealed by the County Council in accordance with the Public Libraries and Museums Act 1964.
- (iii) To authorise a consultation exercise on core opening hours and banding for those libraries currently open, as set out in Table 2 of Appendix 'C'.
- (iv) To approve the proposed core opening hours and banding for those libraries currently closed and approved for re-opening, set out in table 3 of Appendix 'C'.

**Background and Advice**

The proposed library strategy aims to provide direction on the delivery of library services for the next 4 years. The strategy, a draft of which is set out at Appendix 'A', would continue to enable the library service to be delivered in as flexible a manner as possible, working with communities and a range of stakeholders across

Lancashire and with a greater emphasis on working in partnership to develop models of service delivery through engaging with communities. It is imperative that the service is as proactive as possible in addressing the opportunities and challenges over the next 4 years. The revised strategy references the reports and guidance which are driving national library policy and helping inform the delivery of library services throughout the country. The Library Strategy is a Policy Framework document which needs to be approved by Full Council.

In conjunction with a revised strategy, it is considered appropriate to bring forward a revision of the library byelaws (set out at Appendix 'B'). The current byelaws were approved on 17<sup>th</sup> July 1997. Since then technology has developed, society changed and what is delivered by a library service has developed and changed. For example, our current byelaws do not reflect the impact of digital technology and how it is utilised in library buildings. Section 19 of the Public Libraries and Museums Act 1964 (the legislation that governs the provision of library services by local authorities) makes provision for local authorities to make byelaws for their library services and this is seen as good practice. Byelaws can set out the expectations of library users and aid local authorities in the management of library buildings. Once agreed by a local authority (Full Council), byelaws need to be confirmed by the relevant Secretary of State. In proposing a revision of our byelaws, account has been taken of advice and guidance that is provided nationally by the Department for Digital, Culture, Media and Sport (DCMS) and the Society of Chief Librarians and follows a nationally agreed format.

In relation to library opening hours, it is intended that the 11 libraries which are due to reopen between November 2017 and March 2018 will reopen with revised opening hours, which have been modelled around 4 bands depending on the size of the communities being served. This report also proposes that the 47 libraries currently open should also be banded and made available on those 4 bands of opening hours. Details of the proposed bands are set out in Appendix 'C'. The bands of opening hours are also referred to in the strategy and will provide a much more equitable delivery of service across the county than currently exists.

## **Consultations**

Consultation on core opening hours will be required to be carried out for those libraries which are currently open. This consultation will then inform any changes in opening hours which will be applied equitably across the county. It is intended that the Cabinet will be informed of the outcome of the consultation in a further report in January 2018.

## **Risk management**

The implementation of the revised library strategy will support the service in its response to change over the next 4 years. The implementation of new library byelaws will facilitate the use of library services and facilities on a fair and equal basis by all sectors of the community. The implications of the proposed consultation on library core opening hours for 47 libraries are that the council will have a much more streamlined and efficient service, which at the same time will be a much more equal and consistent service to all communities. There will be an impact on staff in

relation to individual working hours, this may be an increase or decrease in working patterns. The detail of this will follow in the January 2018 report to Cabinet and any impact on staff will be managed in line with the established Council employment policies and procedures.

The library strategy needs to be fit for purpose and allow the service to become much more proactive. If the changes are not accepted the service will be restricted in its ability to respond quickly to the inevitable changes that are part of the evolving world of library provision.

Failure to implement the updated byelaws will withhold power from the Council to regulate use of the library services and facilities.

The risk of not carrying out the consultation on core opening hours is that the service delivery will operate on too many different variables which are not conducive to an equitable and consistent delivery of service for all residents within Lancashire.

## **Financial**

The proposed consultation will inform any changes in opening hours which will be applied equitably across the county. Whilst the changes to opening hours proposed in the consultation would see a small overall increase in opening hours across the County Council's libraries of 7 hours per week, changes to opening patterns and consistent opening hours will enable libraries to be staffed in a more effective way thereby potentially reducing staff costs. It is intended that the Cabinet will be informed of the outcome of the consultation in a further report in January 2018 and that this report will include the financial implications of any proposed changes to opening hours.

## **List of Background Papers**

### **Local Government (Access to Information) Act 1985**

| Paper  | Date      | Contact/Tel                |
|--|-----------|----------------------------|
| Byelaws for the County Council of Lancashire for the regulation of the library service 1997                            | 17/7/1997 | Julie Bell<br>01772 536727 |
| The DCMS - Libraries Deliver: Ambition for Public Libraries In England in 2016 -21                                     | Dec 2016  |                            |
| The Society of Chief Librarians<br>Universal Offers of Reading, Information ,<br>Digital, Health, Culture and Learning | June 2013 |                            |
| The All-Party group on Arts, Health,<br>and Wellbeing Inquiry – Creative Health;<br>The Arts for Health and Wellbeing  | July 2017 |                            |

Reason for inclusion in Part II, if appropriate

N/A

Appendix 'A'

# A revised strategy for Lancashire's libraries 2017-21

Delivering reading, learning, information, culture and  
free digital access across Lancashire

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## **Foreword**

Libraries are a vital service at the heart of our communities. They provide surroundings where people can feel safe and secure, where generations of all ages can meet freely in a public place and where learning can be encouraged.

Lancashire has a strong tradition of communities pulling together when the need arises, and this has been much in evidence over recent years when it comes to protecting their local library. We are grateful to all the voluntary and community groups who have and continue to commit time and resources into the library service and its future development.

This library strategy outlines our promises as a public library authority and sets out the priorities we will focus on to deliver a cost-effective, modern and flexible service.

It outlines our vision and strategic objectives, highlights the importance of our libraries within the community, describes our core offer and provides a clear direction for the future of our library service. We see constituted Friends groups being integral to the long-term sustainability of the service and, working together with our skilled and experienced library staff, we look to build on our Reading, Information, Digital, Health, Learning and Cultural offer.

County Councillor Peter Buckley  
Cabinet Member for Community and Cultural Services

September 2017

# Background

This strategy has been informed by, and supports the message and ambitions of four key documents:

- The Society of Chief Librarians (SCL):  
Universal Offers of Reading, Information, Digital, Health, Learning and Culture
- The Department for Culture, Media and Sports (DCMS):  
Libraries Deliver: Ambition for Public Libraries in England in 2016-2021
- The All-Party Parliamentary Group on Arts, Health and Wellbeing (APPGAHW):  
Creative Health: The Arts for Health and Wellbeing
- The Chartered Institute of Library and Information Professionals (CILIP):  
Public Library Skills Strategy 2017-2030

In setting out the Lancashire Library Service strategy we will make reference to, and be guided by the above documents but we also understand that in order to achieve our highest ambitions we must have an in-depth understanding of our communities. We have always sought to put the people we serve at the centre of service delivery and draw our inspiration from them in setting our goals and detailing our ambitions. This strategy therefore is a result of listening to what our residents see as important and reflecting that in this strategy but more importantly embedding this in the way we deliver our services.

To make sure we can do this in a meaningful way we will engage with our communities across the county; listening and responding to the conversations which have informed and will continue to inform our strategy. This is a living strategy which is proactive and not reactive. Working with our communities in this way we will be able to accurately foresee where we should focus our investment as well as reviewing and refreshing our approach to the strategy.

We are committed to providing comprehensive access to library services for people unable to attend a library building in person. This will form part of our core offer detailed later in this strategy.

We also aspire to have a flexible and open minded approach to developing the library offer in Lancashire over the next four years. We recognise that partnership working with all our communities is vital to the success of the service.

We also wish to deliver an equitable service and will be working to deliver a service built on a model of having library bands which establishes 4 different bands. Each band will have a set number of opening hours and opening patterns. Libraries will be allotted to a level which reflects the population that it serves but with each library providing the same core offer and facilities. It is envisaged that, throughout the next 4 years of the strategy, this framework of bands will allow us to develop a flexible and

dynamic service which will address local need, as we continue to review and develop the service. This is the practice we have adopted in the past and we will continue to regularly consult with our communities on opening times and service delivery.

In an age where loneliness and social isolation is identified as one of Britain's biggest problems, the library is a pivotal space in the wellbeing of our communities. The importance that we believe libraries have in supporting the health of people has been evidenced by a 2015 study commissioned by Arts Council England, *The health and wellbeing benefits of public libraries*. The study found that library engagement has a positive association with general health and being a regular library user is associated with a 1.4% increase in the likelihood of reporting good general health. It also predicted medical cost savings associated with library engagement based on reductions in GP visits by improved access to health information.

Libraries are one of the few free, accessible spaces where anyone can come and learn, share, connect and be active in a safe, neutral environment. We should not underestimate the personal value of libraries as a space and service which enriches lives and contributes both to wellbeing and life chances.

# Our vision and strategic objectives

Our vision is:

"A library service which is embedded and flourishing at the heart of Lancashire communities and community life and which makes a difference through reading, information, digital, health, learning and culture".

Our strategic objectives are:

- To provide helpful and knowledgeable staff.
- To encourage people to enjoy reading.
- To provide spaces to enjoy culture and learning.
- To provide easy-to-use online services.
- To help people reach their potential and live independent lives.
- To support our communities to stay healthy.
- To provide opportunities for volunteers and Friends groups to help develop our libraries.

We have checked these objectives with our customers, asking respondents what they thought the Lancashire County Library Service should provide, in line with the service's strategic objectives. This was through an extensive consultation held in 2016.

Our consultation told us that 93% strongly agreed we should provide helpful and knowledgeable staff and 91% said we should encourage people to enjoy reading. 71% strongly agreed we should provide spaces to enjoy culture and learning, 64% easy-to-use online services and help people reach their potential and live independent lives. 59% said support for communities to stay healthy and 48% strongly agreed that there should be opportunities for volunteers to help in libraries.

These objectives link in with and will enable us to deliver the seven key outcomes set out in the Department for Culture, Media and Sport document *Libraries Deliver: Ambition for Public Libraries in England 2016-2021* as follows:

- Supporting economic change through learning and digital literacy.
- Promoting reading and literacy.
- Providing a 24/7 virtual offer.
- Buildings that provide cultural and learning experiences.
- Opportunities for volunteers.
- Health and wellbeing.
- Developing the library workforce.

They also link in with the six universal offers set out by the Society of Chief Librarians and partners including Arts Council England and the Reading Agency in order to keep our services relevant and accessible.

They are:

- Reading Offer: providing a modern reading service within a local community.
- Information Offer: supporting people to access information and services online in life-critical areas.
- Digital Offer: providing free internet access, clear and accessible online information about library services, and staff who are trained to help customers access digital information.
- Health Offer: providing and promoting Public Health information, sign-posting and referrals as well as creative and social reading activity.
- Learning Offer: developing and promoting our role and contribution to lifelong-learning.
- Cultural Offer: people enjoy a quality and diverse cultural experience in their libraries.

This strategy has been developed to build on the success of the past, and to enable the service to respond to the future challenges and opportunities facing the people of Lancashire.

To achieve this, we will:

- **Inspire** people to enjoy books and reading
- **Stimulate** new ideas and new ways of thinking through access to learning, information and local heritage
- **Engage** with communities to encourage cultural and creative activities
- **Deliver** excellent and inclusive customer services for all

# Our libraries are our community and cultural spaces

The attraction of working with libraries for many organisations lies in their ability to connect with their communities on a local level. The neutrality of libraries engenders trust in people. Libraries are uniquely positioned in terms of customer interaction within their immediate community and sometimes far beyond. The service is also connected in different ways to many organisations, both large and small, from providing meeting rooms to being commissioned to deliver specific services, such as the prison and school library services.

The role of library venues is multifaceted. It is a provider of the library service, it is a venue used by other agencies to share public information and services, it is a learning and cultural venue, and it is a place to connect to the rest of the world through the internet and digital access.

The County Council has a statutory duty enshrined under the [Public Libraries and Museums Act 1964](#) to provide a comprehensive and efficient library service for all people working, living or in full-time education within the county of Lancashire. It is important that we consider this duty, to ensure that Lancashire's library service remains effective, innovative and fit for purpose.

The following quotation is taken from William Sieghart & Panel, [Independent Library Report for England DCMS, 2014](#) which informed the work being undertaken by the Library taskforce whose report is one of the key references for this strategy: Department for Digital, Culture, Media and Sports paper [Libraries Deliver: Ambition for Public Libraries in England in 2016 – 21](#).

*“Libraries are, let us not forget, a golden thread throughout our lives... The library does more than simply loan books. It underpins every community. It is not just a place for self-improvement, but the supplier of an infrastructure for life and learning, from babies to old age, offering support, help, education, and encouraging a love of reading. Whether you wish to apply for a job, or seek housing benefit, or understand your pension rights or the health solutions available to you, or learn to read, the library can assist.”*

We know, however, that people want even more than this and 36% of our customers tell us that attending a social or group activity at a library is the **most** important service a library can provide. We don't know how many of our customers would have limited or no social contact without their library but we do know the vital importance the library can play in helping to maintain the independence and enhance the self-worth of the most deprived people living in Lancashire today.

The following quotation from The Department for Digital, Culture, Media and Sports paper [Libraries Deliver: Ambition for Public Libraries in England in 2016 – 21](#) expands on this point.

*"Libraries are cultural hubs within communities - places for inspiration, research, creativity, education, economic prosperity and enjoyment. They help people gain a sense of place and take pride in their neighbourhoods and communities."*

Libraries also provide access and signposting to wider cultural activities, objects, knowledge and sites. They encourage people to explore their own culture and creativity, and offer the deep wealth of resources that creative people use for inspiration.

The All-Party Parliamentary Group on Arts, Health and Wellbeing (APPGAHW) was formed in 2014 and aims to improve awareness of the benefits that the arts can bring to health and wellbeing. During 2015–17, the APPGAHW conducted an Inquiry into practice and research in the arts in health and social care, with a view to making recommendations to improve policy and practice. In the [Inquiry Report](#), Lord Bichard of Nailsworth stated:

*"More and more people now appreciate that arts and culture can play a valuable part in helping tackle some of the most challenging social and health conditions. Active participation in the visual and performing arts, music and dance can help people facing a lonely old age, depression or mental illness. It can help maintain levels of independence and curiosity and, let's not forget, it can bring great joy and so improve the quality of life for those engaged."*

## **Our core offer**

### **Our libraries will offer:**

- Safe, accessible and welcoming spaces.
- Advice and guidance from knowledgeable and trained staff on a range of subjects from recommending reading materials to help getting online and signposting to local services.
- Welcoming and creative spaces where our communities can connect, be active, take notice, learn and share.
- Free access to the internet
- Free 24/7 access to our online library resources
- Support for children and families, through actively promoting health, learning and wellbeing initiatives.
- A range of books, digital resources, eBooks and other materials.
- A request service.
- Cultural activities and events.
- Free Wi-Fi.

### **Our Home Library Service will:**

- Offer full access to the whole of the library services books and audio visual material.
- Provide a request service.
- Be provided free of charge if people are unable to get to a library building because of age, disability or ill health.

### **Our Mobile Library Service will provide:**

- A service which serves Lancashire's more isolated communities.
- Full access to the whole of the library service collections including books and audio visual material suitable for all ages.
- A request service.

### **Our additional services provided include:-**

- Schools Library Service which provides a paid for service to schools in Lancashire and also the unitary authorities of Blackpool and Blackburn.
- Prison Library Service which provides a paid for service to all five of Lancashire's prisons



## Looking to the future

Public libraries across the country have been placed in the spotlight as local authorities deal with significant financial constraints. Although we recognise that we will have to live within our means we have a service which we can be proud of with staff who are passionate about delivering the very best they can for our customers. We will explore and develop our role in supporting the local economy through assessing where our available meeting rooms could support the needs of SMEs and bring income into the Library Service.

Within the resources we have available we will continue to provide a variety of options to access library resources through physical and virtual spaces, mobile libraries, digital services, the School Library Service, Home Library Service and Prison Library Service. We will continue to support the mental health and wellbeing of our communities through our [Reading for Health](#) and working with partners to provide enriching experiences for all.

In collaboration with the [Lancashire Volunteer Partnership](#) we will continue to develop our reading hack and adult library volunteers to support our library teams and help develop the skills and wellbeing of our volunteers.

Working in partnership with [The Reading Agency](#), [BookTrust](#) and others we will ensure our library offers support our communities and remain relevant, reliable and accessible

We will work collaboratively with our constituted Friends of Libraries groups to develop flexible and meaningful services for our communities. We see our constituted Friends groups integral to the sustainability of our libraries and by working with us they will be able to support the enhancement of our offer.

As our independent community libraries develop and flourish we will assist in their development and success by actively supporting them both financially and with professional expertise through the Community Libraries Manager and other library and cultural services professionals.

Our creative and collaborative approach and our continued commitment to invest in a wide range of library services will allow us to maximise our extensive network of libraries and customer contacts. We will continue to be a key part of the County Council's offer to the people of Lancashire and will use the opportunity to develop closer links with partners and colleagues from other services. In this way we will improve the customer experience through innovative and collective ways of working which can open up our libraries to whole new audiences.



## Lancashire County Council

### (Proposed) Public Library Byelaws made under

### Section 19 of the Public Libraries and Museums Act 1964

1. In these byelaws, unless the context otherwise requires:
  - a. **"the Act"** means the *Public Libraries and Museums Act 1964*;
  - b. **"charge"** means any charge imposed in accordance with the Regulations and Policies of the Library Authority;
  - c. **"child"** means a person under the age of 16
  - d. **"emergency situation"** includes situations where a library or part of a library is required to be evacuated for security reasons or because of threat from fire or other hazard and practices and false alarms in relation thereto;
  - e. **"last known address"** means the last address held on the library authority's records;
  - f. **"the library authority"** means Lancashire County Council;
  - g. **"library"** means:
    - i) Any premises which are occupied by a library authority and are premises where library facilities are made available by the authority, in the course of their provision of a public library service, to members of the public;
    - ii) Any vehicle which is used by the library authority for the purpose of providing a public library service to members of the public and is a vehicle in which facilities are made available; and includes any part of such premises or vehicle;
  - h. **"the library officer"** means any officer employed by the library authority in connection with its functions under the Act;
  - i. **"library property"** includes property owned by or provided for the use of the library authority whether or not it is made available by the library authority for use by the public and property obtained by the library authority for the loan to or use of the public;
  - j. **"the Regulations"** means *The Library Charges (England and Wales) Regulations 1991 S.I. 1991/2712*;
  - k. Words importing the masculine gender include the feminine, words in the singular include the plural and words in the plural include the singular;
  - l. Expressions used, unless the contrary intention appears, have the meaning which they bear in the Act and Regulations.
2. An act necessary for the proper execution of his duty by a library officer shall not be a contravention of these byelaws.
3. A person shall not supply an age, name address or other means of identification which is false or misleading for the purpose of entering any part of the library premises or for the purpose of using any library facility.
4. No person who in the reasonable opinion of a library officer is offensively unclean in person or clothing or both shall remain in the library, after having been asked by a library officer to leave the library.
5. Except with the consent of a library officer, no person shall:
  - a. cause or allow any dog (other than an assistance dog) or other animal belonging to him or under his control to enter or remain in the library;

- b. bring into any part of the library a wheeled vehicle or conveyance (other than those necessary for the assistance of people with limited mobility);
  - c. enter or remain in any part of the library which a reasonable person would or should know is prohibited to the public; or
  - d. access or remain in the library outside the times fixed for its opening.
6. No person shall remain in the library after an emergency situation has been made known to him.
7. No person shall, unless specifically permitted by a library officer, take or attempt to take any library property from the library or past a check out or security point.
8. No person shall, without lawful excuse, destroy or damage any library property intending to destroy or damage such property or being reckless as to whether such property should be destroyed or damaged or act with intent or recklessness that such property should be destroyed or damaged.
9. No person shall behave in a violent, disorderly or indecent manner in the library, use violent, abusive, offensive insulting or obscene language therein, or intentionally or recklessly cause or do anything likely to cause injury to any other person.
10. No person shall remain in a library without making proper use of the library's facilities after having been advised or requested, by a library officer, to make such proper use of the facilities.
11. No person shall intentionally or recklessly obstruct any library officer in the execution of his or her duty or intentionally or recklessly disturb, obstruct, interrupt, abuse or annoy any other person properly using the library.
12. No person shall, without the consent of a library officer, intentionally display, distribute, or leave any bill, placard, notice or other document on library premises.
13. No person shall, without the consent of a library officer, offer anything for sale or seek donations on library premises or canvass or seek signatures for petitions.
14. No person having charge of a child shall without the consent of a library officer leave him unsupervised in the library.
15. No person shall bring into or light any flame on library premises.
16. No person in any part of the library shall supply, take or be under the influence of alcohol or any toxic substance for the purpose of causing intoxication; or supply, take or be under the influence of any controlled drug as defined by Schedule 2 of the *Misuse of Drugs Act 1971* other than drugs dispensed for and pursuant to prescription issued for him by a doctor under and in accordance with the aforesaid Act.
17. No person shall, except with the consent of a library officer, partake of refreshment in the library.

18. No person who:
- a. borrows library property which is returned late or if returned would be returned late, or
  - b. fails to pay any charge

shall, unless with the specific consent of a library officer, borrow any other library property.

19. Any person who has borrowed library property which if returned would be returned late and who has been served with a notice by the library authority demanding return of the library property shall return the library property or pay the appropriate replacement cost and charges [to a library provided by the library authority] within 14 days from the date the notice was served.
20. Any library user whose personal details change must notify a library officer as soon as reasonably possible or take responsibility for updating their own customer account.
21. A person shall use online resources in a way consistent with any Conditions of Use Policy or similar rules of the library, as advertised or notified by the authority. Breach of any such policy shall, without prejudice to any other legal sanction or remedy available to the library authority, lead to the barring of the use of such online resources.
22. Any person who contravenes any of these byelaws shall, without prejudice to any other legal sanction or remedy, be liable to prosecution by the library authority for contravention of the byelaws, and shall be liable on summary conviction to a fine not exceeding level 2 on the standard scale in respect of each offence.
23. A library officer may exclude any person who contravenes any of the foregoing byelaws from any library maintained by the library authority under the Act.
24. On the coming into operation of these byelaws, the byelaws relating to libraries which were made by the Lancashire County Council on the 17th day of July 1997 and were confirmed by Secretary of State for Culture, Media and Sport on the 16th day of March 1998 shall be revoked.

[Official seal of local authority]

The Common Seal of [ ] was hereunto affixed in the presence of [ ].

The foregoing Byelaws are confirmed on behalf of the Secretary of State for Culture, Media and Sport by the Deputy Director, Culture Directorate, Department for Culture, Media and Sport and shall come into force on [ ].

[Signature].

[Print Name].                      On [ ].

Secretary of State for Culture, media and Sport

[ ]

The date of coming into force is one month after date of signature.

The following is an optional note at the end of the Byelaws.

This note is not part of the byelaws.

Users of the library and library facilities are reminded that the provisions of the general law apply at all times. In particular as regards the activities referred to in byelaws 8 and 16 the library authority draws attention to the existence of the *Criminal Damage Act 1971* and the *Misuse of Drugs Act 1971*.

Something to this effect should also be displayed on or in the vicinity of the photocopy machines.

People who intend to make copies of works are advised that they may only do so in accordance with the provisions of the *Copyright Designs and Patents Act 1988* and are liable to prosecution under that Act if they fail to observe its provisions.

## Proposed consultation on Library Opening Hours

### Background

The library service wishes to consult on the opening hours of the 47 current libraries that are operational. It is proposed that we introduce a model of banding libraries according to the number of hours per week the library is open. There will be four bands A, B, C, D and each library will be allocated to a band with each band having a set number and pattern of opening hours.

This would result in all the libraries in Lancashire operating to a more consistent pattern and providing a more equitable delivery of service. It will also make the service easier to manage and more efficient from a staffing perspective. Therefore, we wish to consult with both the public and staff on the use of the allocated hours (linked to the bands) and on determining the individual library opening pattern.

The detail of each proposed band i.e. the proposed number of opening hours and opening pattern, is set out in Table 1. The table also demonstrates the hours a day each band would be open during the week.

Table 2 details the proposed band that each specific library would be allocated to, the current hours of opening and the proposed hours of opening.

Table 3 details the libraries that it has been agreed are to re-open and the band (and therefore opening hours) that they will be allocated to if the proposed model is adopted.

If the proposed banding model is implemented there will be a small net gain in the total opening hours across the county. No extra staff hours will be required as current staff hours will be reworked to meet this change.

All our libraries will be closed on [bank and public holidays](#) and some extra statutory dates.

### Table 1

#### Band A Library - 50 hours per week\*

4 days            9am – 5pm

1 day             9am – 7pm

Saturday        9am – 5pm

\* Harris library will be open 55 hours per week and include Sunday 11am – 4pm

#### Band B Library - 42 hours per week

3 days            9am – 5pm

1 day             9am – 7pm

1 day             9am – 1pm

Saturday 9am – 1pm

Band C Library - 34 hours per week

2 days 9am – 5pm

1 day 9am – 7pm

1 day 9am – 1pm

Saturday 9am – 1pm

Band D Library - 18 hours per week

1 day 1pm – 5pm

1 day 1pm – 7pm

1 day 9am – 1pm

Saturday 9am – 1pm

**Table 2**

| Library          | Band | current hours | Proposed Model hours |
|------------------|------|---------------|----------------------|
| Accrington       | A    | 50            | 50                   |
| Adlington        | C    | 30            | 34                   |
| Ansdell          | C    | 38.5          | 34                   |
| Bacup            | C    | 38.5          | 34                   |
| Barnoldswick     | B    | 46            | 42                   |
| Brierfield       | C    | 34.5          | 34                   |
| Burnley          | A    | 51            | 50                   |
| Burscough        | C    | 31            | 34                   |
| Carnforth        | C    | 29.5          | 34                   |
| Chorley          | A    | 51            | 50                   |
| Clayton Green    | B    | 44            | 42                   |
| Clitheroe        | A    | 49            | 50                   |
| Coal Clough      | C    | 33            | 34                   |
| Colne            | B    | 49            | 42                   |
| Coppull          | C    | 31.5          | 34                   |
| Eccleston        | C    | 30.5          | 34                   |
| Euxton           | C    | 30            | 34                   |
| Fleetwood        | A    | 46.5          | 50                   |
| Garstang         | B    | 41.5          | 42                   |
| Great Harwood    | C    | 35.5          | 34                   |
| Halton           | D    | 11            | 18                   |
| Harris (Preston) | A*   | 57            | 55                   |



|              |   |      |    |
|--------------|---|------|----|
| Haslingden   | B | 41.5 | 42 |
| Heysham      | B | 40   | 42 |
| Ingol        | C | 31.5 | 34 |
| Kingsfold    | B | 37.5 | 42 |
| Kirkham      | C | 40   | 34 |
| Knott End    | C | 33   | 34 |
| Lancaster    | A | 51   | 50 |
| Leyland      | A | 49   | 50 |
| Longridge    | B | 37.5 | 42 |
| Longton      | B | 43.5 | 42 |
| Mellor       | D | 13   | 18 |
| Morecambe    | B | 51   | 42 |
| Nelson       | A | 51   | 50 |
| Ormskirk     | B | 51   | 42 |
| Padiham      | C | 40   | 34 |
| Poulton      | B | 44.5 | 42 |
| Rawtenstall  | A | 48   | 50 |
| Ribbleton    | C | 28   | 34 |
| Rishton      | C | 35   | 34 |
| Savick       | C | 28   | 34 |
| Sharoe Green | C | 30   | 34 |
| Skelmersdale | A | 51   | 50 |
| St. Annes    | A | 48   | 50 |
| Tarleton     | C | 37.5 | 34 |
| Whitworth    | C | 28   | 34 |

|  |       |      |      |
|--|-------|------|------|
|  | Total | 1847 | 1859 |
|--|-------|------|------|

**Table 3**

| Library         | Band | Hours before closure | New hours |
|-----------------|------|----------------------|-----------|
| Barrowford      | C    | 25                   | 34        |
| Bolton le Sands | C    | 26.75                | 34        |
| Burnley Campus  | C    | 55                   | 34        |
| Freckleton      | C    | 30.5                 | 34        |
| Fulwood         | B    | 46                   | 42        |
| Lostock Hall    | B    | 43.5                 | 42        |
| Oswaldtwistle   | C    | 35.5                 | 34        |
| Parbold         | C    | 37.5                 | 34        |
| Silverdale      | D    | 10.5                 | 18        |
| Thornton        | B    | 38.5                 | 42        |
| Whalley         | C    | 36                   | 34        |

|  |       |        |     |
|--|-------|--------|-----|
|  | Total | 384.75 | 382 |
|--|-------|--------|-----|

## Timeline

|                                 |  |
|---------------------------------|--|
| 6 <sup>th</sup> September 2017  | Cabinet report available for public to view                                      |
| 14 <sup>th</sup> September 2017 | Cabinet consider the proposal to consult   |
| 1 <sup>st</sup> October 2017    | If Cabinet agree, consultation commences in 47 libraries                         |
| 26 <sup>th</sup> November 2017  | Consultation concludes   |
| 11 <sup>th</sup> January 2018   | Report on the outcomes of the consultation to cabinet                            |
| 17 <sup>th</sup> January 2018   | Amendment of the Library structure following the consultation to Management team |
| 22 <sup>nd</sup> January 2018   | Consultation with Staff  |
| 1 <sup>st</sup> May 2018        | Implementation of the new opening hours  |

## Conclusion

In carrying out a consultation on library opening hours and introducing a model of having library bands for 47 libraries the council will then be able to move forward with a more streamlined, efficient and effective service. At the same time, it will be a more equitable service to communities across the county. There will be an impact on staff in relation to individual working hours which may mean a slight increase or decrease in hours and/or a change to working patterns. The detail of this will follow in the January report to Cabinet and any impact on staff will be managed in line with the established Council employment policies and procedures.

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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