## Full Council

Thursday, 8th February, 2018, at 1.30 pm in the Council Chamber, County Hall, Preston.

## Agenda

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- 1. Apologies and Announcements
- 2. Disclosure of Pecuniary and Non-Pecuniary Interests

#### A. Matters for Decision

- 3. The County Council's Budget (Pages 1 512)
  - Revenue Budget 2018/19 and Financial Strategy 2018/19 to 2021/22
  - Capital Investment Programme 2018/19 and beyond
  - Council Tax and Precept 2018/19
- 4. Report of the Audit, Risk and Governance Committee -Treasury Management Policy and Strategy 2018/19 (Pages 513 - 542)

#### B. Matters for Information

There are no matters to be reported at this meeting.

#### C. Notice of Motion

To consider any Notices of Motion submitted under Standing Order No. 14.2.1.

Angie Ridgwell Interim Chief Executive and Director of Resources

County Hall Preston

31 January 2018



# Meeting of the County Council Meeting to be held on 8 February 2018

Report submitted by the Cabinet

Part A

Electoral Division affected: All

## The County Council's Budget

# Revenue Budget 2018/19 and Financial Strategy 2018/19 to 2021/22 Capital Investment Programme 2018/19 and beyond Council Tax and Precept 2018/19

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

Contact for further information: Angie Ridgwell (01772) 536260, Interim Chief Executive and Director of Resources <u>Angie.Ridgwell@lancashire.gov.uk</u>

## **Executive Summary**

To consider the recommendations of the Cabinet on 18<sup>th</sup> January 2018 regarding:

- (i) The Revenue Budget 2018/19 and Financial Strategy 2018/19 to 2021/22: section 1 of this report and Appendix 'A';
- (ii) The Capital Investment Programme 2018/19 and beyond: section 2 of this report and Appendix 'A'; and
- (iii) The Council Tax and Precept 2018/19: section 3 of this report.

**Please note:** The reports on the County Council's Budget for 2018/19 considered by Cabinet at their meetings on 14<sup>th</sup> September 2017, 12<sup>th</sup> October 2017, 9<sup>th</sup> November 2017, 7<sup>th</sup> December 2017 and 18<sup>th</sup> January 2018 form part of the background to the report attached at Appendix 'A'. The detailed information from those reports is not repeated in this report. Those reports are available via the Cabinet Agendas on the County Council's website:

http://council.lancashire.gov.uk/ieListMeetings.aspx?CommitteeId=122



This report reflects the provisional settlement announced on 19<sup>th</sup> December 2017. It is currently thought likely that the final settlement will be announced in early February. This will therefore will be presented as an adjustment to the 2018/19 Budget at Full Council on 8<sup>th</sup> February 2018 if information has been made available.

## Recommendation

The Full Council is asked to consider the proposals of the Cabinet from its meeting on 18th January 2018 and then approve:

- i. The Revenue Budget for 2018/19 and Financial Strategy 2018/19 to 2021/22;
- ii. The Capital Investment Strategy 2018/19 and future years; and
- iii. The Council Tax Requirement and Precept for 2018/19.

## Consultations

As part of the budget process the contents of the report to Full Council have been subject to a consultation with a variety of stakeholders and partners, including discussions with the Trade Unions.

For the budget consultation, a letter was sent out on behalf of the County Council on 21<sup>st</sup> December 2017 outlining the budget position, and containing a link to the relevant reports with respondents then able to e-mail or send in their written feedback. The closing date for the consultation was 19 January 2018. The consultation documentation included all the savings proposals that have been agreed by Cabinet. These are set out in Appendices 'C' and 'D', with those proposals in Appendix 'C' being subject to further specific consultation, the outcome of which will be reported back to Cabinet for a final decision.

Appendix 'B' contains the responses that have been received following the budget consultation. A total of 17 responses were received, some of which were requests for the budget information to be presented differently going forward and commented on timeframes for responses. The substantive feedback primarily related to a small number of savings proposals, namely, Information Centres (CMTY027), Dial a Ride (CMTY024) and other savings proposals such as NOW Cards (CMTY026b) and Advocacy Services (ASC005). The majority of the feedback recognise the need to make savings but would prefer the County Council to look at alternatives to achieve the saving and review the running of the service/facilities (some respondents have asked for their interest in being involved in the running of the facility to be registered).

The specific savings areas responded on are all in Appendix 'C' and subject to further specific consultation, before a final decision is made by Cabinet.

The total value of those savings subject to specific consultations is £9.340m of which  $\pounds 6.734m$  falls in 2018/19. There is sufficient uncommitted funding available within the transitional reserve to cover the 2018/19 impact of any of these proposals should they ultimately not be agreed for implementation, noting that alternative savings would then need to be agreed.

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

Paper	Date	Contact/Ext
Money Matters – The Financial Strategy for 2018/19 – 2021/22	18 <sup>th</sup> January 2018	Angie Ridgwell Interim Chief Executive and Director of Financial Resources/x36260
Money Matters – Updated Medium Term Financial Strategy (2018/19 – 2021/22)	7 <sup>th</sup> December 2017	Neil Kissock/Financial Resources/x36154
Money Matters – 2017/18 Financial Position and Medium Term Financial Strategy	9 <sup>th</sup> November 2017	Neil Kissock/Financial Resources/x36154
Money Matters – Additional Savings 2018/19 – 2020/21	12 <sup>th</sup> October 2017	Neil Kissock/Financial Resources/x36154
Money Matters 2017/18 Position – Quarter 1	14 <sup>th</sup> September 2017	Neil Kissock/Financial Resources/x36154

## Report of the Cabinet

The Cabinet **recommends** the adoption of the proposals set out below for the:

- 1. The Revenue Budget 2018/19 and Financial Strategy 2018/19 to 2021/22: section 1 of this report and Appendix 'A';
- 2. The Capital Investment Programme 2018/19 and beyond: section 2 of this report and Appendix 'A'; and
- 3. The Council Tax and Precept 2018/19: section 3 of this report.

## 1. Revenue Budget 2018/19

The Cabinet **recommends** the adoption of the revenue budget as set out in Appendix 'A' and in the tables below, which sets out the proposed budget allocations to services and other budget areas. It should be noted that there are savings proposals totalling c£12m being delivered in 2018/19 which have been agreed as part of setting the budget in previous years. In addition, Cabinet have agreed further savings totalling £81m throughout 2017/18, with £43m impacting directly in 2018/19 and included within the budget (the remainder of the savings are profiled to be achieved over 2019/20 and 2020/21). However, despite the additional savings, the County Council faces a financial gap of £47.619m in 2018/19 and it is proposed that the transitional reserve is used to support this shortfall.

Revenue Budget 2018/19	Net Budget £m
Adult Services	347.435
Education and Children's Services	157.910
Community Services	134.792
Customer Access	3.382
Corporate Services	19.218
Economic Development and Planning	3.669
Chief Executive Services	20.102
Finance Services	31.229
Programmes and Projects	0.784
Property Services	27.437
Public Health	20.855
Service Communications	0.834
Sub-Total	767.647
Financing Charges	39.039
Use of one off resources	-47.619
Revenue budget 2018/19	759.067

## 2. Capital Investment Strategy 2018/19 and beyond

The Cabinet **recommends** the adoption of the proposals for the Capital Investment Strategy 2018/19 and future years as set out at Appendix 'A'.

## 3. Council Tax and Precept 2018/19

The Cabinet **recommends** the Full Council to authorise, in pursuance of the provisions of the Local Government Finance Act 1992, and in order to meet the general expenses of the County Council for the financial year 2018/19.

a) Budget, Council Tax Requirement and Precept for 2018/19:

That the band D Council Tax for 2018/19 is increased by:

- 3% for the Adult Social Care Precept being an annual increase of £36.65 for Band D council taxpayers.
- 2.99% for General Council Tax being an annual increase of £36.53 for Band D council taxpayers.

This gives an overall position of:

	£m
Budget Requirement	759.067
Less RSG	56.979
Less Retained Business Rates	188.972
Less New Homes Bonus grant	3.765
Less Better Care Fund	22.656
Less Capital Receipts	18.525
Equals council tax cash	468.170
Divided by tax base	361,544.11
Gives Band D council tax for 2018/19	£1,294.92
2017/18 council tax	£1,221.74
Percentage increase	5.99%

b) Council Tax (on the basis of a budget requirement of £759.067m and the Council Tax base for each property valuation band:

Council Tax Band	£
Band A	863.28
Band B	1,007.16
Band C	1,151.04
Band D (basic)	1,294.92
Band E	1,582.68
Band F	1,870.44
Band G	2,158.20
Band H	2,589.84

c) The share for each District Council of the net total raised from the Council Tax of £468,170,698:

District	£
Burnley	29,581,761
Chorley	47,412,434
Fylde	38,525,165
Hyndburn	26,553,630
Lancaster	53,350,704
Pendle	30,639,750
Preston	48,167,139
Ribble Valley	29,656,258
Rossendale	26,194,937
South Ribble	46,022,493
West Lancashire	45,099,305
Wyre	46,967,124
Total raised from the Council Tax	468,170,700

Geoff Driver CBE Leader of the Council County Hall, Preston

# Appendix 'A' The County Council's Revenue Budget and Council Tax for 2018/19 and Capital Investment Programme for 2018/19 and future years

## 1. Introduction

The Council has faced an unprecedented period of financial challenge since austerity began in 2010. Like all councils, Lancashire County Council is facing significant financial pressures, and whilst good progress has been made to date in addressing the forecast financial shortfall over the strategy period, further work is required to ensure the council can achieve a financially sustainable position.

In reports throughout the financial year to Cabinet, it is clear that the Council is committed to the delivery of a significant savings programme (c£135m over the period 2017/18 to 2021/22) including £81m of new savings proposals agreed by Cabinet during 2017/18. There are inherent risks with saving plans of this scale and scope and any significant under-delivery of agreed savings will further increase the funding gap. This has been identified as one of the highest level risks in the Council's Risk and Opportunity Register and there are comprehensive arrangements in place to track delivery of financial savings and take corrective actions as required.

Taking account of updated resources information a funding gap of £47.619m remains and, in order to set a balanced budget, reserves of £47.619m are therefore required to fund the gap. However, this is clearly dependent on all budget options agreed by Cabinet being delivered fully within the timeframes identified, along with the other savings agreed in previous budget cycles. Should any of these savings proposals ultimately not be achieved they will need to be replaced with alternative savings to avoid increasing the size of the gap. A number of them are also still subject to the outcome of specific consultation exercises and will go back to Cabinet for final decisions to be made.

There also remains a funding gap of £69.252m in 2019/20. Current forecasts indicate that that there may be sufficient funds within the transitional reserve to support the identified budget gap in 2018/19 and 2019/20. However, further savings will need to be made and fully implemented by 2020/21, at the latest, to deliver a sustainable financial position going forward.

The County Council has previously agreed as part of the financial strategy to benchmark unit costs, and move towards the lowest quartile of the most appropriate comparator group. The data is now being updated to reflect the latest information available to review how the County Council now compares to other Councils with the same responsibilities. Further work is being planned and scheduled over coming months to identify proposals for further budget savings for 2019/20 and beyond.

The Medium Term Financial Strategy includes government funding as announced in the provisional settlement on 19th December 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 later years. It is anticipated that a new system of Local Government finance will be in place in 2020/21 which involves Local Government operating with an increased level of business rates retention (75%) and a review of the funding formula. In December 2017 the first significant consultation was published in relation to the funding formula with further technical consultations expected over coming months.

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 and therefore the grants position will be announced annually.

The provisional settlement has given the Council scope to increase general council tax by an additional 1%, without the need for a referendum, in both 2018/19 and 2019/20 on the grounds that it keeps pace with inflation and CPI is currently running at 3%. Adult social care precept arrangements remained unchanged and Councils with adult social care responsibilities are able to add up to a 3% increase in council tax up to a maximum of 6% over the period 2017/18 to 2019/20.

The County Council continues to face significant challenges from rising costs; from pay award, national living wage, contractual inflation and an increasing demand for its services, particularly in both adult and children's social care services and waste services.

The current Medium Term Financial Strategy estimates that in 2021/22 the County Council will have a net budget available of £777m. This compares to £759m in 2018/19. By 2021/22 the County Council will need to have identified and delivered further savings of £144.492m, in addition to previously agreed savings, for a balanced budget to be set.

This report presents for consideration by the Full Council the recommendations of the Cabinet for:

- The revenue budget for 2018/19;
- A revised capital investment programme for 2018/19 and future years;
- The Council Tax and precept for 2018/19.

In addition the report sets out the advice of the Director of Resources, as the Council's statutory Chief Finance Officer, on the robustness of the budget and the adequacy of reserves as required by Section 25 of the Local Government Act 2003.

## 2. The Budget Process

The County Council's approach is driven by a formal requirement to deliver a balanced budget in 2018/19. This needs to be undertaken whilst recognising the position for future years and that there will be a requirement for a significant level of reserves to support the 2018/19 budget. The Cabinet has considered the budget for 2018/19 and future years at a number of its meetings. The reports considered can be found at:

http://council.lancashire.gov.uk/ieListMeetings.aspx?CommitteeId=122

## 3. The Context for Setting the 2018/19 Budget

The Cabinet's recommendations for the 2018/19 revenue budget and capital investment programme are framed within the context of the on-going environment of austerity across the public sector.

The challenge facing the County Council is unprecedented. The proposed 2018/19 budget of £759.067m includes £55m of savings to be delivered in total, £43m of them being new savings proposals. Despite these reductions, the MTFS shows that there is still a funding gap of £47.619m in 2018/19. Over the period 2018/19 to 2021/22 it is estimated that the County Council needs to make further savings of £144.492m. Delivering this level of saving whilst seeking to deliver effective services for our communities cannot be achieved without a radically different approach which focuses on service delivery within a reducing budget envelope.

The pressures identified for this period reflect the continuing increase in demand for council services, in particular those services delivering social care to both older people and children as well as increases in contractual prices, pay and the impact of the National Living Wage.

The County Council's reduction in government funding has still to be formally confirmed for 2018/19 with the final local government finance settlement expected to be announced during February 2018. However, the provisional settlement has indicated that Revenue Support Grant will be as previously forecast in 2018/19 and 2019/20. In addition the Government announced adjustments to business rates (inflation, the multiplier and the impact of revaluations) and the MTFS has been adjusted to reflect updated information regarding the impact. It is not anticipated that there will be any significant changes in the final announcement.

The MTFS reported to Cabinet in January 2018 included a 3% Adult Social Care Precept in 2018/19 and therefore a 1% increase in 2019/20 as a result of flexibilities offered by Government. In addition, following the new flexibilities for general council tax announced by the Secretary of State in December 2017, the MTFS also includes a 2.99% general council tax increase in 2018/19 and 2019/20. This flexibility is not currently being offered in subsequent years.

From 2020/21 onwards, it is therefore assumed that the maximum increase will revert back to 1.99%, as the option to raise an Adult Social Care precept will no longer be available. Council Tax increases are 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.

The provisional settlement gives indicative figures for future years and it is clear that austerity will continue. The forecast of resources for 2018/19 to 2021/22 reflects the reductions indicated in the provisional settlement. However, the level of future resources is subject to change and therefore future funding remains a risk.

Reports will be provided regularly to Cabinet in 2018/19 to update the financial position for the County Council based on the latest information.

## 4. The Revenue Budget 2018/19 to 2021/22

## 4.1 The financial challenge

The County Council's Medium Term Financial Strategy (MTFS) was approved by Full Council in February 2017 covering the 2017/18 budget and the forecast position for 2018/19 to 2020/21. This identified the funding gap in each year as follows:

## <u>Table 1</u>

	£m	£m	£m	£m	Total £m
2017/18 (£m)	57.106	57.106	57.106	57.106	228.424
2018/19 (£m)		30.934	30.934	30.934	92.802
2019/20 (£m)			30.037	30.037	60.074
2020/21 (£m)				37.876	37.876
Total	57.106	88.040	118.077	155.953	419.176

During 2017/18 Cabinet has received a number of MTFS reports that have identified further changes to the expected level of spending and in the anticipated level of resources available for that period. The latest MTFS shows a revised spending gap of  $\pounds$ 144.492m. The profile of the funding gap is shown in Table 2:

## <u>Table 2</u>

	£m	£m	£m	£m	Total £m
2018/19 (£m)	47.619	47.619	47.619	47.619	190.476
2019/20 (£m)		21.633	21.633	21.633	64.899
2020/21 (£m)			49.280	49.280	98.560
2021/22 (£m)				25.960	25.960
Total	47.619	69.252	118.532	144.492	379.895

Although the financial gap has reduced, from the £155.953m reported last February, it is important to note that this reflects different funding assumptions to those presented previously, including the impact of a 5.99% council tax increase in 2018/19. The County Council's budget is still facing a hugely challenging future with savings of £55m to achieve as part of the 2018/19 budget and significant additional pressures including the impact of the national pay award, national living wage and inflationary and demand pressures across Children's Social Care, Adults Social Care and Waste Services.

## 4.2 Meeting the challenge

The financial gap reported to Full Council in February 2017 totalled £155.953m by 2020/21. The revised forecast gap is £144.492m by 2021/22. During 2017/18, savings proposals have been agreed by Cabinet totalling £81m, with £43m scheduled for delivery within the 2018/19 budget (the remainder of the savings profiled to be achieved over 2019/20 and 2020/21).

The County Council has previously agreed that part of the financial strategy is to benchmark unit costs, and move towards the lowest quartile of the most appropriate comparator group. The data is now being updated to reflect the latest information available to review how the County Council now compares to other Councils with the same responsibilities. Further work is being planned and scheduled to identify proposals for the budget savings for 2019/20 and beyond, whilst also seeking to maintain or improve service outcomes for end users.

Delivery of the significant savings programme has been identified as a key risk area and current savings plans are subject to detailed regular scrutiny by the Programme Office and Finance.

As part of the process of redesigning its services the County Council has previously explicitly recognised needing to utilise reserves to support the revenue budget.

Reserves are non-recurrent and their value has reduced significantly in recent years. They are now forecast to be sufficient only to support the budget gaps in 2018/19 and 2019/20 if further savings are not identified.

## 5. The level of Resources Available to support the 2018/19 Revenue Budget

The revenue resources which support the County Council's 2018/19 budget are:

- Revenue Support Grant;
- Business Rates;
- Council Tax;
- New Homes Bonus;
- Better Care Fund; and
- Capital receipts.

In addition to these the County Council receives a number of ring-fenced grants.

The level of resources reflected in the MTFS for 2018/19 and future years is as follows:

	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m
Revenue Support Grant	56.979	32.894	0.000	0.000
Business Rates	188.972	194.421	198.989	204.431
Council Tax	468.170	494.153	511.547	529.552
New Homes Bonus	3.765	3.713	3.207	3.207
Better Care Fund	22.656	40.014	40.014	40.014
Capital receipts	18.525	8.475	9.672	0.000
Total	759.067	773.670	763.429	777.204

# <u>Table 3</u>

These figures are subject to change once the final settlement is given but have been adjusted for the impact of the final Council tax base figures as discussed below.

## 5.1 The resources received through the Local Government Finance Settlement

The Secretary of State announced the Provisional Local Government Finance Settlement on 19<sup>th</sup> December 2017. This has resulted in some amendments to the

MTFS in relation to council tax, business rates and new homes bonus. It is important to note that the Settlement only covers the period up to 2019/20. It is currently anticipated that a new system of local government finance will be in place in 2020/21 which involves local government retaining 75% of the business rates a review of the funding formula. However, details of the scheme and the impact on Lancashire are not known.

The business rates figures in the Table 3 have been adjusted compared to those reported to Cabinet in January 2018 as a result of further information has been released in relation to the s31 grants that the County Council is expecting to receive. However it is important to note that written confirmation has not been received, therefore there is a risk that these figures could still potentially change, but these are the best estimates that are currently available.

## 5.2 Options for Council Tax in 2018/19

On 18<sup>th</sup> January 2018 Cabinet recommended to Full Council that the Band D Council Tax for 2018/19 has a 5.99% increase including 3% to be used for the adult social care precept. The Council Tax figures within the MTFS include the impact of a 5.99% increase in Council Tax in 2018/19, 3.99% increase in 2019/20 and a 1.99% increase in 2020/21 and 2021/22.

There is a requirement for Section 151 officers in those authorities levying the adult social care precept to provide information demonstrating that an amount equivalent to the additional Council Tax has been allocated to adult social care.

Any proposals for a Council Tax increase above these thresholds will be subject to a referendum.

As part of the budget setting process District Councils must confirm both the Council Tax-base and the surplus/deficit on the Collection Fund by 31<sup>st</sup> January 2018. Due to the publication dates of the reports for Full Council this final information cannot be included in this report and therefore tax base figures are based on estimates provided in December 2017. This resulted in an estimated tax base increase for 2018/19 from 1.5% to 1.7%.

A further update will be provided at the meeting of Full Council on 8<sup>th</sup> February 2018.

## 5.3 Business Rates resources

From 2013/14 an element of the County Council's funding is received from the locally retained element of Business Rates collected by the District Councils. It is estimated that the County Council will receive funding of £188.972m from Business Rates (including top up grant).

As part of the budget setting process District Councils must confirm the surplus/deficit on the business rates Collection Fund by 31<sup>st</sup> January 2018. Due to the publication dates of the reports for Full Council this final information cannot be included in this report and therefore the figures are based on estimates provided in December 2017.

A further update will be provided at the meeting of Full Council on 8<sup>th</sup> February 2018.

## 5.4 Capital receipts

In previous years the use of capital receipts (income derived from the sale of long term assets) has been restricted to funding capital expenditure or the repayment of debt. However, from 1<sup>st</sup> 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.

As part of the Provisional Settlement in December 2017 it was announced that flexibility to use capital receipts to help meet the revenue costs of transformation programmes will continue for a further three years.

Local authorities will only be able to use capital receipts from the sale of property, plant and equipment received in the years in which this flexibility is offered. They may not use their existing stock of capital receipts to finance the revenue costs of service reform.

The current estimates of the capital receipts to be generated, and utilised in supporting revenue expenditure, are as follows:

## Table 4

	2018/19	2019/20	2020/21	Total
	£m	£m	£m	£m
Capital receipts generated	18.525	8.475	9.672	36.672

The actual receipts received in any one year will fluctuate in line with local property markets and the type of asset available for sale. Therefore, there is a risk that in any given year the receipts actually received will be less than assumed and therefore the situation will be monitored closely. However, receipts received as at 31<sup>st</sup> December 2017 capital receipts were broadly on track to achieve the 2017/18 target, however as the value has not yet been achieved this remains a risk, with any variance carried forward into 2018/19 and any in year shortfall met from the transitional reserve.

There is suitable forecast expenditure within the revenue budget to enable the estimated £18.525m to be applied in 2018/19. These receipts would normally be applied to the Capital Programme and therefore the impact is to effectively increase the level of borrowing required to support the approved Capital Programme.

The capital receipts in 2018/19 will be applied to the following areas (shown in Table 6) to generate ongoing revenue savings or to transform a service which results in revenue savings or improvements in the quality of provision.

## <u>Table 6</u>

Service Area	Value (£m)
Children's Social Care	4.204
Waste Services	0.717
Exchequer Services	2.186
Human Resources	0.900
Programme Office	0.632
Policy, Information and Commissioning	0.828
Procurement	0.700
Financial Management (Operational)	0.850
Corporate Finance	0.280
Estates	0.391
Facilities Management	0.457
Asset Management	1.028
Core Business Systems Transformation	1.799
Adults Services	3.086
Customer Access	0.381
Public and Integrated Transport	0.086
Grand Total	18.525

At Full Council in February each year the County Council's prudential indicators are reviewed and approved. As part of the Treasury Management Strategy, that is requesting approval at this Full Council meeting, the level of indicators incorporate the budgeted level of capital receipts that will be used to support the revenue budget rather than the capital programme. The indicators are reviewed on a regular basis and reported to Members on a quarterly basis.

# 5.5 Specific Grants and contributions to be received by the County Council in 2018/19

The following table summarises the more significant specific grants to be received by the Council in 2018/19:

## <u>Table 7</u>

Grant	Estimated Allocation 2018/19 £m	Description
Better Care Fund	64.1	The Better Care Fund is a pooled budget to help improve the integration of health and care services. This includes the additional, but non-recurrent iBCF allocation announced in February 2017 (£15.7m). An additional £22.656m in relation to improved better care fund is shown in Table 3 and is included as part of funding rather than grant.
Public Health	68.4	Ring fenced funding only able to be spent in accordance with the conditions of the grant.

#### 5.6 Reserves

The latest reserves positon agreed by Cabinet is shown in Table 8 and this includes the impact of the forecast revenue underspend.

## Table 8

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
County Fund	-36.000	2.373	10.000	-23.627	0.000	0.000	-23.627
SUB TOTAL - COUNTY FUND	-36.000	2.373	10.000	-23.627	0.000	0.000	-23.627
Strategic Investment Reserve	-4.446	1.283	0.037	-3.126	1.240	0.410	-1.476
Downsizing Reserve	-18.913	2.653	1.431	-14.829	3.762	0.000	-11.067
Risk Management Reserve	-10.439	3.768	3.001	-3.670	3.670	0.000	0.000
Treasury Management Reserve	0.000	0.000	-10.000	-10.000	0.000	0.000	-10.000
Transitional Reserve	-159.014	39.695	-9.920	-129.239	5.860	0.578	-122.801
To facilitate the transition of services	-3.000	0.000	3.000	0.000	0.000	0.000	0.000
Service Reserves	-13.038	2.604	2.441	-7.993	3.571	0.501	-3.921
SUB TOTAL - LCC RESERVES	-208.850	50.002	-10.010	-168.858	18.103	1.489	-149.266
Schools/Non-LCC Service Reserves (3.5)	-18.989	1.263	0.010	-17.716	1.011	-0.687	-17.392
SUB TOTAL SCHOOLS/NON LCC RESERVES	-18.989	1.263	0.010	-17.716	1.011	-0.687	-17.392
GRAND TOTAL	-263.839	53.638	0.000	-210.201	19.114	0.802	-190.285

# <u>Table 9</u>

	2018-19 £m	2019-20	2020-21 £m	
MTFS Funding Gap	47.619	69.252	118.532	
Available reserves to support financial gap	47.619	69.252	5.930	122.801

The County Fund shown at the top of Table 8 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 is forecast to hold a County Fund balance at £23.627m by the end of 2017/18.

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, which now requires a reduced balance of £2.373m. In addition £10.000m has been set aside within a reserve to mitigate possible risks within the Treasury Management investment portfolio.

This reduction to the County Fund balance 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.

Table 8 shows that the forecast value of the uncommitted Transitional Reserve is currently  $\pounds$ 122.801m and whilst it is anticipated that further revenue savings for 2018/19 and beyond will be identified, the impact of utilising the Transitional Reserve to fund the  $\pounds$ 47.619m gap would leave  $\pounds$ 69.252m available for use in 2019/20 based on current forecasts. Table 9 within the report demonstrates the funds that are forecast to be available to support the budget gap in 2018/19 and 2019/20. However, in order to set a legal budget further savings will need to be made.

## 6. The Overall Revenue Budget Position for 2018/19

## 6.1 Summary of Cabinet's Revenue Budget Proposals

The overall impact of the Cabinet's recommendations to Full Council for the 2018/19 revenue budget and the potential changes are set out in Table 10.

The table reflects the following:

- Impact of further cost pressures;
- Changes in the level of resources that are currently known;
- The Cabinet's recommendation of a council tax increase of 5.99% in 2018/19;

- The anticipated use of one-off resources in 2018/19; and
- The provision of estimated figures by the City and Borough Councils in respect of Council Tax base and Business Rates income.

# <u> Table 10</u>

	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m	Total £m
Spending Gap as reported to Cabinet December 2017	60.313	25.310	53.630	18.533	157.786
Add change to forecast of spending:					
Pay and Pensions	4.661	3.919	-1.383	-1.856	5.341
Price Inflation and Cost Changes	-0.365	0.107	-0.170	-0.235	-0.663
Service Demand and Volume Pressures	3.435	0.235	0.231	0.224	4.126
Specific Grants	0.128	0.000	0.000	0.000	0.128
Additional Savings	-6.449	-2.591	-2.100	0.000	-11.140
Total change to forecast of spending	1.410	1.670	-3.422	-1.868	-2.210
Funding	-12.837	-5.981	-1.561	9.296	-11.084
Total change to forecast of resources	-12.837	-5.981	-1.561	9.296	-11.084
Revised funding gap reported to Cabinet 18 <sup>th</sup> January 2018	48.886	20.999	48.647	25.960	144.492
Funding (Business Rates)	-1.267	0.634	0.633	0.000	0.000
Revised funding gap	47.619	21.633	49.280	25.960	144.492

## 6.2 Revenue Budgets for Services in 2018/19

The budget outlined above results in net expenditure on services of £759.067m. The budget by service is summarised below:

Revenue Budget 2018/19	Net Budget £m
Adult Services	347.435
Education and Children's Services	157.910
Community Services	134.792
Customer Access	3.382
Corporate Services	19.218
Economic Development and Planning	3.669
Chief Executive Services	20.102
Finance Services	31.229
Programmes and Projects	0.784
Property Services	27.437
Public Health	20.855
Service Communications	0.834
Sub-Total	767.647
Financing Charges	39.039
Use of one off resources	-47.619
Revenue budget 2018/19	759.067

# <u> Table 11</u>

## 7. The Capital Investment Programme

This section of the report sets out the following:

- an outline of the 2018/19 2020/21 capital programme including known projects; and
- summary of the proposed funding of the 2018/19 capital programme and the revenue implications of the increased use of prudential borrowing.
- 7.1 Capital Programme for 2018/19 2020/21

Table 12 below details the proposed provisional capital programme for the period 2018/19 to 2020/21.

City Deal is included only where LCC make a direct contribution to it or where the County Council is supporting the cash flow requirements of the project in the early years. City Deal and other Lancashire Economic Partnership activity is reported separately via the existing LEP reporting and performance framework. LCC is the accountable body for the LEP.

	2018/19 (£m)	2019/20 (£m)	2020/21 (£m)
Schools (excluding DFC)	32.612	20.188	0.000
Schools DFC	5.156	0.000	0.000
Children and Young People	4.560	3.588	0.000
Highways	53.415	4.551	4.797
Transport	25.692	0.840	0.000
Waste and Other	0.100	0.000	0.000
Adults Social Care	7.808	6.061	0.000
Corporate	28.139	24.700	0.000
Vehicles	3.910	0.000	0.000
Totals	161.392	59.928	4.797

# <u>Table 12</u>

The table above does not include the impact arising from variances in expenditure and funding during 2017/18. Analysis of this impact will be undertaken as part of the year end accounting process.

## 7.2 Funding Implications

The capital programme is currently funded by a variety of funding streams including specific government capital grants, capital receipts, LCC revenue funds and prudential borrowing.

## 7.2.1 Capital Receipts

In line with Government legislation that took effect from 1<sup>st</sup> April 2016, capital receipts are included in the MTFS Strategy to support revenue.

## 7.2.2 Proposed funding

Table 13 provides details of funding sources for the capital programme up to 2020/21:

## <u> Table 13</u>

	2018/19 (£m)	2019/20 (£m)	2020/21 (£m)
Borrowing	73.610	38.644	3.455
Grants	85.655	21.284	1.342
Developer contributions	2.097	0.000	0.000
3 <sup>rd</sup> Party contributions	0.031	0.000	0.000
Total funding	161.392	59.928	4.797

Table 14 identifies the revenue budget for financing charges as reflected within the Medium Term Financial Strategy:

## <u>Table 14</u>

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
Minimum Revenue Provision	21.337	23.432	25.902	27.521
Interest Paid	23.533	23.143	22.214	21.918
Interest Earned	-7.912	-7.316	-6.854	-6.676
Grants Received	-0.240	-0.220	-0.200	-0.180
Total	36.718	39.039	41.062	42.583

The revenue budget above reflects a position which takes account of the views of both internal and external advisers, particularly in relation to interest rate movements. Provision has also been made for changing some of the borrowing to a long term fixed rate rather than the existing short term rates.

The position will be closely monitored by the section 151 officer and any changes will be reflected in a revised forecast and included in budget monitoring or MTFS reports presented to Cabinet.

The revenue implications of the forecast borrowing levels have been included within the MTFS.

## 8. Council Tax for 2018/19

The recommendation of the Cabinet to Full Council on the council tax requirement is that the Band D Council Tax for 2018/19 be increased by 5.99% which includes the 3% social care precept. The impact of these increases are:

## <u> Table 15</u>

	Band D Council Tax	Council Tax income
Adult Social Care Precept at 3%	£36.65	£13.251m
General Council Tax increase at 2.99%	£36.53	£13.207m

The overall position is summarized as follows:

## <u> Table 16</u>

	£m
Budget Requirement	759.067
Less RSG	56.979
Less Retained Business Rates	188.972
Less New Homes Bonus grant	3.765
Less Better Care Fund	22.656
Less Capital Receipts	18.525
Equals council tax cash	468.170
Divided by tax base	361,544.11
Gives Band D council tax for 2018/19	£1,294.92
2017/18 council tax	£1,221.74
Percentage increase	5.99%

## 9. The Robustness of the Budget and the Adequacy of Reserves

Section 25 of the Local Government Act 2003 requires that, in giving consideration to budget proposals, Members must have regard to the advice of the Council's Chief Finance Officer (in the case of the County Council the Chief Executive and Director of Resources) on the robustness of the estimates and the adequacy of the Council's reserves.

## **Robustness of the Estimates**

This section is concerned with the scale of financial risks faced by the Council as a result of the estimates and assumptions which support any budget. The basis of the estimates on which the budget has been prepared, as in previous years, relies on the forecast of activity and the impact of changes in policy previously agreed by the Council. These forecasts are kept under review as part of the budget monitoring process and actions identified to address financial risks arising from changes in the forecast as they occur.

The table below demonstrates the scale of just a small variance in the assumptions made in the MTFS, showing the potential impact of both a positive and negative movement of 1% across the main areas within the MTFS and the potential impact of a further 0.25% variation on interest rates:

	Potential Full-Year Impact (£m)
Funding (1%)	+/- 4.716
Pay (1%)	+/- 3.226
Price Inflation (1%)	+/- 5.952
Demand (1%)	+/- 6.323
Interest Rates (0.25%)	+/- 1.250

A number of specific risks remain within the budget as follows:

## Government Funding

The Council did not take up the offer in 2016 of a multi-year finance settlement covering Revenue Support Grant, Rural Services Delivery Grant and Transitional Grant. However, there were no changes to the 2018/19 allocations, announced in the Local Government Settlement on 19<sup>th</sup> December 2017, previously reported to Cabinet. Revenue Support Grant is expected to end in 2019/20 and the impact on the Council of the Business Rate Retention Scheme and Fair Funding Review from 2020/21 is not yet known. For the purpose of the budget and MTFS a neutral position has been assumed including no Revenue Support Grant form 2019/20 and will be updated when further information is known.

No additional funding was announced for either adult social care or children's services, nor to cover the proposed 2% two year pay offer for local government workers. These additional cost pressures have been included in the strategy.

The settlement has given the Council scope to increase council tax by an additional 1% in both 2018/19 and 2019/20 on the grounds that it keeps pace with inflation, CPI is currently running at 3%. Adult social care precept arrangements also remain unchanged for Councils with adult social care responsibilities able to add up to a 3% increase in council tax up to a maximum of 6% over the period 2017/18 to 2019/20. These flexibilities have now been included in the strategy as part of this report.

## Service Demand

This is a key risk facing the Council in both preparing future budgets and managing budgets during the year. As reported in the budget monitoring reports presented to Cabinet over the year, demand for both adult and children's social care services and waste services continue to see increases despite the impact of demand management measures.

Over the period 2018/19 to 2021/22 £85m has been provided in the MTFS for demand pressures of which £55.7m relates to adult social care and £22m children's social care. These have been identified based on current and historical trends and population projections where appropriate (particularly linked to the ageing population in respect of Adult Social Care). Whilst for Adult Social Care the estimates are based on assumptions that have previously been a reasonable prediction of demand, during the current financial year significant and unanticipated increased costs in relation to Children's Social care have occurred and have been reported to Cabinet in revenue monitoring reports.

Detailed work continues to be undertaken focused on a better understanding of the causes of increasing demand and what steps can be taken to mitigate the financial impact, which, along with grant funding reductions, is a major contributing factor towards the funding gap reported in the MTFS.

#### • Pay

The previous MTFS has made provision for a pay award of 1% each year. Most of the pay bill is driven by the national pay agreement and the announcement of the 2% 2 year pay offer represents a significant additional cost pressure reflected in the updated MTFS. The County Council also remains committed to paying its employees as an accredited member of the Living Wage Foundation who have announced a 3.6% increase in the Living Wage. The impact of this initial increase and further 3.6% increases in subsequent years for those staff directly impacted has been factored into the MTFS.

#### Inflation

The Monetary Policy Committee (MPC) of the Bank of England has been set an inflation target by the Government of 2%. However, in September 2017 the CPI inflation increased to 3% and rose again to 3.1% in November. It is considered that inflation has been pushed above the target by the increase in import prices that resulted from the depreciation of sterling. The MPC has stated that it judges that inflation is likely to be close to its peak, and will decline towards the 2% target in the medium term.

Provision made within the budget is limited to areas where the Council has no choice but to pay increased prices e.g. due to contractual terms. The inflation forecasts used in recent years are based on the future level of inflation implied by yields on interest linked gilts. Historically, this has tended to give a more accurate forecast than the methodology previously used. It is anticipated that the continued use of this methodology will reduce the risk of needing to make catch up additions to the budget for "missed" inflation or the need to absorb additional inflationary costs in year.

A particularly significant area is the care market, primarily residential, nursing and homecare, the funding of which is recognised as a significant issue regionally and nationally. A significant amount of resource has been included within the MTFS to fund price increases and the estimated impact of the national living wage on care providers.

#### Interest Rates

The MPC has also raised the base interest rate for the first time in a decade. At its meeting on 1 November 2017, the MPC voted by a majority of 7-2 to increase the Bank Rate by 0.25 percentage points, to 0.5%. Reasons cited for the increase were concern over inflation and the reduction of slack in the economy.

Despite the increase in the base rate the short term interest rates continue to be at historically low levels. It is not anticipated that the increase in November is the start of

a period of large increases. All indications are that any future increase will be at a very gradual pace. Indeed, the County Council's Treasury advisors predict no further changes in the base rate for this financial year due to the uncertainty for the UK economy arising from the Brexit negotiations and the fall in real wages.

## • Savings Programme Delivery

The Council is committed to the delivery of a significant savings programme (c£135m over the period 2017/18 to 2021/22) including £81m of new savings agreed by Cabinet during 2017/18. There are inherent risks with saving plans of this scale and scope and any significant under-delivery of agreed savings will further increase the funding gap. This has been identified as one of the highest level risks in the Council's Risk and Opportunity Register and there are comprehensive arrangements in place to track delivery of financial savings and take corrective actions as required.

#### Adequacy of Reserves

The Council holds reserves for a number of reasons:

- to enable the Council to deal with unexpected events such as flooding or the destruction of a major asset through fire;
- to enable the Council to manage variations in the demand for services which cause in year budget pressures; and
- to fund specific projects or identified demands on the budget.

There is no 'right' answer to the question of the appropriate level of reserves for a local authority; this is a matter of judgement taking into account:

- the level of risk evident within the budget as set out above;
- judgement on the effectiveness of budgetary control within the organisation; and
- the degree to which funds have already been set aside for specific purposes which will reduce the need for general reserves.

In relation to the Council's general reserve (County Fund Balance), the forecast level at 31 March 2018 is £23.627m. This is after £10m is transferred to a formal treasury management reserve to reflect that, whilst the Council's Treasury Management performance (covering both investment activity and financing costs) has been positive over an extended period, the outlook post-Brexit is particularly uncertain and volatile. The reserve will therefore help to manage quickly responding to that volatility, including interest rate changes and associated risks, over the short-term, without directly impacting the revenue account.

The revenue budget has been heavily supported in recent years by the reserves that have been available to the Council and their value has therefore reduced significantly. The value of the Council's uncommitted transitional reserve is currently forecast to be £122.801m (including the 2017/18 forecast underspend). Assuming all of the savings proposals up for consideration at this meeting are agreed there still remains a gap between available funding and forecast expenditure of £47.619m in 2018/19, which will further reduce reserves.

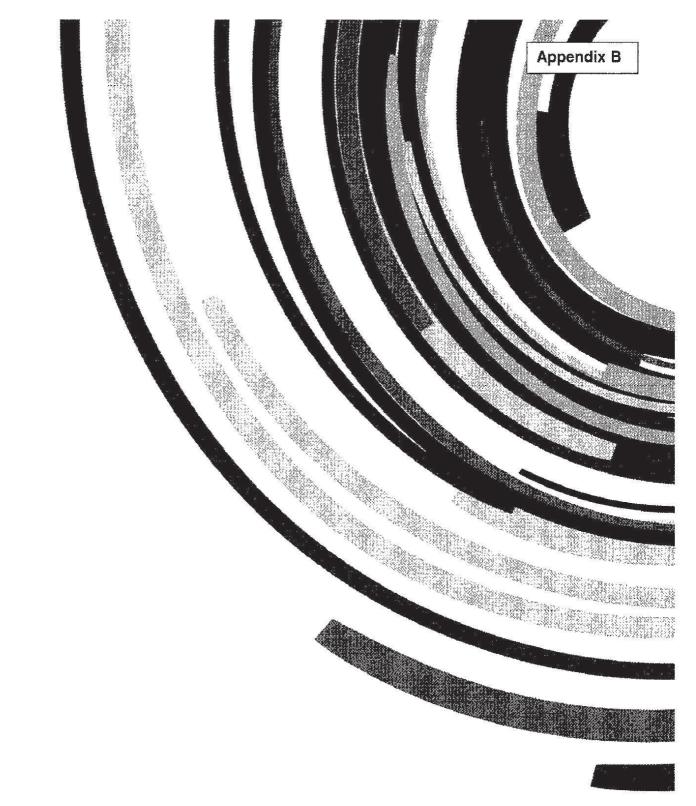
The level of risk evident within the budget has been significant in recent years and remains so at a time when it is clear that the revenue budget for 2018/19 will also need to be supported significantly by reserves. The Council acknowledges that it needs to move to a sustainable financial position and also that this will take time to implement. The transitional reserve allows decisions to be made in a more measure and considered way but does not of itself negate the need for a sustainable budget to be achieved. While the Council's budgetary control procedures are strong in terms of managing in year expenditure, the effectiveness of budgetary control is a combination of systems and processes as well as the risk environment within which the Council is operating. It therefore remains an essential requirement that the Council continue to ensure that processes are effective in maintaining a grip on in year expenditure and also that there is a clear focus on delivering a balanced and sustainable budget.

Overall, the Council has an appropriate level of reserves available to manage the financial risks it is facing in 2018/19, but this is highly unlikely to be the case in future years. It is critical that a significant level of additional savings are identified to be delivered and fully implemented by 2020/21 to bring the Council to a financially sustainable position. Any utilisation of remaining reserves should support, wherever possible, activities which reduce ongoing revenue costs. One of the priority areas for new savings will be in seeking to implement the aim within the current financial strategy of seeking to move to lower quartile cost, of the most appropriate comparator group of local authorities, for all services.

#### Conclusion

Following the ongoing detailed budget monitoring, identification of £81m of further budget proposals and a detailed review of the current reserves commitments, a balanced budget for 2018/19 with the use of £47.619m of reserves can be recommended. However, this is clearly dependent on all the budget options being agreed and delivered fully within the timeframes identified, along with the other savings agreed in previous budget cycles. Should any of these budget options ultimately not be taken forward they will need to be replaced with alternative savings to avoid increasing the size of the financial gap.

While it is possible to confirm the robustness of budgets using £47.619m of reserves for 2018/19, the position for 2019/20 is critical to addressing the issue of financial sustainability as there remains a funding gap of £69.252m. Urgent work is required to identify proposals for additional savings early in 2018/19 that can be delivered in 2019/20 and for the remaining MTFS period.



# Full Council Budget Consultation Responses

County Council

www.lancashire.gov.uk

#### Dear LCC,

Am writing as an interested party in the proposals to close the booking office at Clitheroe.

Rail station booking offices have real potential to operate as businesses beyond the limited scope of rail ticketing. Aside from supporting customers in making sustainable travel choices and promoting rail, there are numerous examples of rail stations with low service frequencies and footfall being successful commercial ventures and a public service.

Gobowen station in Wales, Chester le Street in Durham and Eaglescliffe are all examples of rail stations that do so much more and fulfil local needs. Many MerseyRail stations have an M2GO on them that is a small shop, helping make the stations make attractive, raise ridership and provide a public/commercial service. I would suggest members may visit these stations before making any decision.

It is vital we retain these services if we are to promote rail travel as a sustainable alternative and get cars off our congested roads, especially into small towns like Clitheroe.

As a stakeholder in promoting rail we would welcome the opportunity to discuss a possible venture, in relation to retaining this facility and expanding its usefulness to the community.

Kind regards,



From: Bretherton PC

Sent: 21 December 2017 18:27

To: Modern Gov Enquiries <<u>moderngov@lancashire.gov.uk</u>> Subject: Fw: Lancashire County Council Budget Consultation

The next Parish Council meeting is not until early Feb, would we still be able to submit comments-you are not really giving much of a consultation period, taking into account Xmas and New Year.

Kind Regards,



From: Parish Clerk

Sent: 10 January 2018 10:42 To: Modern Gov Enquiries <<u>moderngov@lancashire.gov.uk</u>> Subject: Re: Lancashire County Council Budget Consultation

Whittingham Parish Council considered your email email below and the links too 3 months of cabinet papers which they found very time consuming to digest.

Consequently I have been asked to request a more user friendly briefing sheet itemising the proposed cuts or alterations to key services.

Clerk to the Parish Council

 From:
 (NHS EAST LANCASHIRE CCG)

 Sent: 15 January 2018 08:56

 To: Modern Gov Enquiries < moderngov@lancashire.gov.uk>

 Cc:
 (NHS EAST LANCASHIRE CCG)

 (NHS EAST LANCASHIRE CCG)

 Subject: Lancashire County Council Budget Consultation

In response to your request for feedback regarding the budget consultation, Senior Managers at East Lancashire CCG felt it would have been better if the decisions and implications had been summarised for partner organisations for clarity as it was difficult to locate them in the meeting papers.

Kind Regards



NHS East Lancashire Clinical Commissioning Group

Room 115 | Walshaw House | Regent Street | Nelson | BB9 8AS | (for Sat Nav BB9 8SQ)

## **CHATBURN PARISH COUNCIL**

www.chatburnvillage.org.uk

15 January 2018

Budget Consultation Responses Democratic Services PO Box 78 County Hall Preston PR1 8XJ

#### Lancashire County Council's proposed budget savings for 2018/19 Proposed Closure of Clitheroe Railway Interchange Station

Chatburn Parish Council is strongly opposed to the above closure and submits the following observations for your consideration:

1. The adjacent Platform Gallery is owned by Ribble Valley Borough Council who assist with the maintenance, cleaning and staffing of the Interchange. It may be possible to come to some arrangement with the Borough Council to retain the Interchange.

2. The Interchange is used extensively by local people and tourists visiting the Ribble Valley who enjoy the benefits of the facility to purchase tickets together with detailed travel information unavailable from ticket machines.

3. Currently the use of rail transport is growing and the infrastructure being improved to accommodate rolling stock.

It would appear that the closure of the Interchange will result in a reduction of service by those using trains and buses.

Chatburn Parish Council supports Ribble Valley Rail's proposal to keep the Clitheroe Railway Interchange Station open until all options have been discussed.

Yours sincerely



Clerk

### **Community Rail Cumbria**



Community Rad Cumbria - Helpingtobu/Id the Future of Cumbrian Railways

Community Rail Cumbria • Parkhouse Building • Kingmoor Park • Carlisle • Cumbria • CA6 4SJ Tel: 07767 007 101 Email: dawn.mcgough@cumbria.gov.uk

#### Email: moderngov@lancashire.gov.uk

12 January 2018

Dear Sir

#### Carnforth Station Booking Office

At the recent meeting of the Furness Line Community Rail Partnership (FLCRP), held at Carnforth Station, deep concern was expressed regarding the proposal "CMTY027 – Information Centres" contained in the LCC Budget Consultation 2018/19 which would see the closure of the ticket booking office and information centre at Carnforth station.

Carnforth station was rescued from dereliction with well over £1 million investment in its restoration by Network Rail, Lancashire County Council, Lancaster City Council and the Carnforth Station & Railway Trust to bring it into community use. Subsequently, the award winning Heritage Centre has become a thriving tourist attraction in its own right employing up to 12 members of staff, several volunteers and welcoming visitors from all over the world.

The booking office, hosted in the Gateway Building, and temporarily closed for renovation works, normally offers essential face-to-face services helping the local community and visitors with their travel planning needs and train ticket sales. Most importantly, the staffed facility generates income for both the county council and for the train operators.

The station buildings also host several other small profitable businesses offering employment opportunities and contributing to the overall success of the local economy. Together, the set-up at the station has developed into a wholly sustainable venture enabling Carnforth to remain a vibrant destination and interchange location.

The booking office is currently leased from the Heritage Centre Trust providing the Trust with a vital core income stream. Should the Trust lose this income source there is a genuine risk to the future viability of the Heritage Centre. The small businesses also lease space from the Trust but the income generated is insufficient to support the Trust on its own. Additional income could be sought but squeezing modestly profitable local enterprises who have suffered significant losses whilst the Gateway Building has been closed may force closure or relocation. If the Trust ceases to be viable the buildings will be returned to the control of Network Rail. Recent experience demonstrates that Network Rail is seeking commercial rents from unused station property which would be difficult to achieve in Carnforth.

Carnforth station is included in the designation of the Furness Line CRP and this partnership works closely with the Bentham Line CRP as trains from both lines meet at Carnforth. Over the years, the CRPs have worked closely together to support and promote this prosperous venture involving the ticket booking office, the Heritage Centre and several small businesses at the station. Truly, the loss of the booking office will have a devastating effect on the station and the community as a whole.

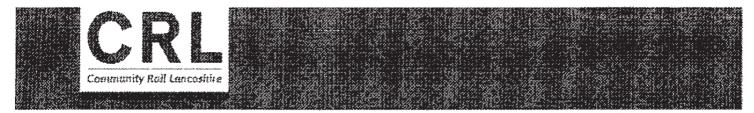
The Fumess Line CRP would also like to emphasise that the train operating company Northern, is due to introduce the Northern Connect service in 12 months' time. This initiative will see new train services along the Fumess line providing a direct service between Barrow and Manchester International Airport – a much welcomed development offering ease of travel for thousands of commuters and visitors with the potential to unlock vital economic growth in the area. However, these services are planned to stop at staffed stations only. Clearly, if there is no staffed booking office and quite possibly no Heritage Centre, there is a risk that the Northern Connect services may not stop at Carnforth, considerably disadvantaging the local community.

The Fumess Line CRP urges Lancashire County Council to reconsider the proposal to close the Carnforth booking office and would welcome the opportunity to consider alternative solutions which could enable the sustainability of Carnforth station and its community as a whole.

Yours sincerely



Chairman, Furness Line Community Rail Partnership



Budget Consultation Responses Democratic Services PO Box 78 County Hall Preston PR1 8XJ

16th January 2018

Ref: Updates Medium Term Financial Strategy (2018/19-2021/22) Item CMTY027 – Information Centres

Community Rail Lancashire Ltd is strongly opposed to the proposed closure of the award winning Interchange at Clitheroe. Since its opening in 2000 the Interchange has provided the travelling public from Clitheroe and the surrounding with assistance in planning and booking journeys and the sale of tickets to the regular users who travel daily to work and places of study.

Community Rail Lancashire Ltd are requesting a hold on the closure decision to enable interested parties to put together a business plan, which will ensure the retention of Clitheroe Interchange for rail and bus passengers.

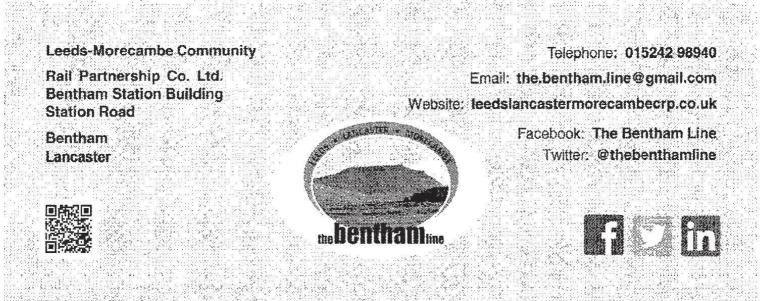
Vice-Chair Community Rail Lancashire Ltd.

From: Sent: 16 January 2018 15:02 To: Modern Gov Enquiries <<u>moderngov@lancashire.gov.uk</u>> Subject: Budget Consultation

Brindle Cuerden and Hoghton Parish Councils have no comments to make on the proposals .

Clerk

#### **Response 9**



Budget Consultation Responses, Democratic Services, PO Box 78, County Hall, Preston, PR1 8XJ

16th January 2018

Dear Sir,

#### **Carnforth Information and Ticket Office**

The Leeds-Morecambe Community Rail Partnership (LMCRP) has been saddened and concerned to read of the possibility of the permanent closure of the Carnforth Station office in Lancashire County Council's Cabinet documents for December 2017 and in the local press.

Your report correctly identifies that older people and those with disabilities, in particular, prefer the professional support, like that offered at Carnforth, with their travel information and ticket requests. However, this is the case for many travellers of all ages.

The Partnership was established in 2006, as a not-for-profit company on co-operative lines, to develop community interest in the Bentham Line and help to secure the line's development and future. Carnforth is one of the higher-patronage stations on the Bentham Line (and Furness Line).

The LMCRP wishes to offer its support in developing a means of maintaining a travel information and ticketing services at Carnforth station.

At this stage of your consultation, we would wish to register our interest in the services and would be pleased to discuss with Lancashire County Council representatives the possibility of the Partnership becoming involved in the operation of, and maintaining, the much-valued personal services provided at Carnforth.

The Partnership looks forward to your response.

Yours faithfully,



Chairman

Leeds-Morecambe Community Rail Partnership Co. Ltd.

From:

Sent: 18 January 2018 16:24 To: Modern Gov Enquiries <<u>moderngov@lancashire.gov.uk</u>> Subject: RE: Lancashire County Council Budget Consultation

To Lancashire County Council

Wheelton Parish Council have reviewed the information highlighted below but raise the comment that the information was so difficult to find they felt that there was a question as to whether the council really wanted parish councils to respond.

Best regards

Clerk to Wheelton Parish Council



Email: clerk@carnforthtowncouncil.org



Budget Consultation Responses, Democratic Services, PO Box 78, County Hall, Preston PRI 8XJ

Dear Sir,

Lancashire County Council Budget Proposals 2018/2019: Response

Camforth Town Council views with concern Lancashire County Council's proposal to close the transport information centre at Camforth Station as part of its revenue budget savings for 2018/2019.

Whilst the Town Council notes that there is an intention on the part of Lancashire County Council to consult further on this proposal should it decide to proceed with the savings, we wish to make our position regarding the matter clear from the start.

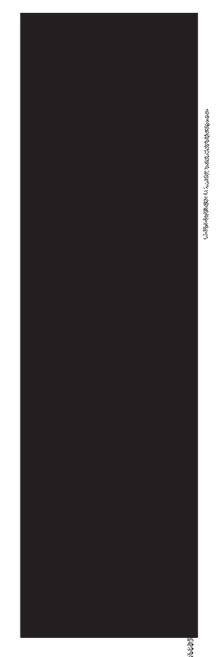
We are opposed to the proposed closure for the following reasons:

- 1. We believe the transport information centre is an important amenity for Carnforth and its hinterland, not only for local residents but also for a growing number of visitors to the area. The impact of the centre's temporary closure recently during the on-going extensive refurbishment of the main station building has received (and continues to receive) widespread adverse public comment locally. At a time when the economic development of the town and surrounding area, particularly through tourism, is experiencing numerous significant challenges, the permanent closure of the centre would merely compound difficulties and set back economic development further.
- 2. This proposal also runs counter to the ambitions set out in the Morecambe Bay Economic Plan, recently published by the Coastal Communities Alliance. This plan recognised the importance of developing tourism in the area and the key role of transport hubs and associated infrastructure supporting such tourism.
- 3. We also believe that the closure of the Carnforth centre would have a disproportionate adverse effect on elderly and disabled residents and visitors who greatly value the personal service the centre has hitherto been able to offer. It should be noted that our elderly population is growing apace with a new retirement complex about to open near to the centre of the town. The idea that the future of travel planning and ticket purchasing should be entirely "on line" does not resonate with many sections of our community, particularly the elderly and those people who do not have access to a computer or other internet enabling device.

bigger impact on the local community than the closure of similar centres in Preston other public facilities in both towns, eg. public libraries, in relatively close proximity and with extensive opening hours from which a similar service could feasibly be It is our view that the closure of the information centre in Carnforth is likely to have a and Morecambe. Whilst these other closures would be equally regrettable, there are provided. Carnforth Library is currently open 27 hours a week and is closed on Sundays, a busy day for visitors. 4

We would urge the County Council to reconsider its proposal to close the Camforth transport information centre. Carnforth Town Council would be willing to take part in discussions with representatives of the County Council, the Carnforth Station Trust, the parties to find a viable and long-term outcome that will benefit all parties but particularly Carnforth Chamber of Commerce and the rail providers and indeed any other interested the residents of Carnforth and the surrounding area.

Yours sincerely



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on behalf of Carnforth Town Council Clerk

-----Original Message-----

From:

Sent: 22 January 2018 20:25 To: Modern Gov Enquiries <<u>moderngov@lancashire.gov.uk</u>> Subject: Response

Please see comments from Brindle Parish Councillor

CMTY018 – Conservation and Collection Team: much more detail is required on the process of transfer of the museums service to 'third parties'.

IMPACT (p.17) - Reference is made to 'third parties' in relation to transferring museum collections. Are these likely to be predominantly private sector? Are they likely to involve large service providers like ATOS? As the Carillion example shows, such contracts often involve enormous costs for services and enormous liabilities to the purchaser (essentially taxpayers). My experience is that local government likes to use large service providers because they see them as having a track record of delivery and because it is easier than using lots of smaller organisations. If third sector organisations are involved, by what process will they be recruited?

ACTIONS (p.17) – What 'contracts' are envisaged? What oversight will there be? How transparent will the process of tendering be? Will organisations be contracted to provide a museum service that can distribute shares or will the revenue be used entirely for a social purpose? What safeguards will there be in the event that museum items are damaged or disappear?

ASC005 - Advocacy Services: this should NOT be cut.

EQUALITY ACT 2010 - The Report clearly indicates that the proposal to cut the Advocacy service is contrary to the requirements of the Equality Act 2010. The Advocacy Service is most relevant to people with protected characteristics under the Act. This is particularly true in relation to disability. Even those who use the Service and do not have protected characteristics are very vulnerable because they are accessing the adult health and social care services. The elderly, especially those with dementia or extensive comorbidities, are likely to need to use the Service. The Office of National Statistics data shows that such people are often multiply deprived with poor health, housing, income, literacy etc. They really need a single point of contact Service.

RISK – The LCC Impact statement on p. 46 (q. 3) clearly shows that removing this Service will have a negative effect on Service users. The demands for this Service are likely in increase as austerity bites further and BREXIT is implemented. The forecast from a majority of reputable economists is that post-BREXIT, there will be more unemployment, a lowering of the UK standard of living and poorer public services. As Piketty showed, in times of recession, inequality increases and the poorest get poorer. These are the users for the Advocacy Service and, if our welfare state means anything, they should be protected.

Clerk - Brindle Parish Council.



Morecambe Town Council Morecambe Town Hall Marine Road Morecambe LA4 5AF. Contact: Telephone: 01524 422929 Email: <u>clerk@morecambe.gov.uk</u> Our Ref: Your ref:

Budget Consultation Responses, Democratic Services, PO Box 78, County Hall, Preston PR1 8XJ

19th January 2018

Dear Sir/Madam,

#### Re: Lancashire County Council Budget Consultation 2018/19

Thank you for giving the Town Council the opportunity of responding to the County Council's consultation regarding the its budget proposals for 2018/19.

The Town Council met on 18<sup>th</sup> January, and asked me to forward the following comments for consideration.

In making the comments below, the Town Council does appreciate how difficult it is for all tiers of Local Government to set a balanced budget that meets the needs of the whole electorate. However, the Town Council remains concerned about the following issues:

- Following the appointment of a new Chief Executive on a salary that Town Councillors believe to average more than £1,000 per day whilst there are proposals to cut frontline services to vulnerable people e.g. social care does not seem appropriate and fair to the many residents across Lancashire who need care etc.
- Whilst the Town Council welcomes libraries being kept open, the budget proposes a significant reduction in expenditure on books and e-books which will further undermine the quality of service offered by the libraries;
- The Town Council welcomes the continuation of bus services at the proposed levels, but believes the value of this service is being severely undermined by the proposal to reduce funding for the provision of timetables in bus shelters. This severely reduces the quality of service to many people. Not everyone has access to the internet e.g. elderly people who rely on their local service;
- The proposed reduction in the budget for disabled transport is not acceptable given the level of need in Morecambe and throughout the County. The proposal to double the charge to NOW card holders using the bus before 9.30 a.m. seems disproportionate. Many NOW card holders are vulnerable people on low incomes, and sometimes cannot avoid using an early service e.g. to attend a hospital or doctors' appointment. The Town Council also understands that you may be proposing to make an initial charge for a Page 47

NOW Card, which again would be an attack on elderly, vulnerable and needy people across the County.

• The proposal to reduce Social Care by a total of £45m causes the Town Council grave concern, given the demographics of not only Morecambe but the whole County and would urge you to reconsider these proposals which again will undermine vulnerable and elderly persons across Lancashire.

The Town Council trusts that the County Council will consider these comments in finalising its budget for 2018/19.

Yours sincerely,

Town Clerk

From:

Sent: 19 January 2018 11:10 To: <u>oliver.starkie@lancashire.gov.uk;</u> Modern Gov Enquiries <<u>moderngov@lancashire.gov.uk</u>> Cc: Mynott, Josh <<u>Josh.Mynott@lancashire.gov.uk</u>> Subject: Proposals for Closure of Clitheroe Information Office at Clitheroe Interchange

Dear Oliver,

Further to the decision taken by Lancashire County Council at the meeting of its Cabinet on 7<sup>th</sup> December 2018 in connection with the proposed closure of the Clitheroe Interchange Information Office I understand that the decision includes for a period of formal consultation details of which are to be published. On behalf of the Council, and in response to the initial decision taken I would like to advise that Ribble Valley Borough Council has concerns regarding the proposed closure and its impact on public transport in the Borough and our Members will be considering the matter in further detail.

I understand that consultation details will be issued shortly ahead of any final decision and that the Council will have an opportunity to respond. I also understand that there is a standard period (which ends today), following the decision when stakeholders can raise concerns. The purpose of this e mail is to notify you of the Council's concerns in response to that decision and to confirm that the Council will be responding to the formal consultation.

Please do not hesitate to contact me should you wish to discuss or clarify any matters at this stage.



THE RT HON LINES AN HOYLE MP Deputy Speaker, Charlenger of Ways like Means

Lengen (ville) Veb 620-7206 (SMN)



Constituency Office Tel: 01257 271858

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Our Ref: MG

HOUSE OF COMMONS

LONDON SWIA GAA

16<sup>m</sup> January 2018

Ms Angle Ridgwell Interim Chief Executive Lancashire County Council PO Box 100 County Hall Preston PR1 0LD

Dear Ms Ridgwell,

#### Re: Dial a Ride Funding

I understand that the full council will be meeting on Thursday 18th January in order to discuss the budget.

I am writing regarding the essential funding provided to Central Lancashire by Dial a Ride the county council. I believe that a proposal is being tabled showing cuts of £75,000 for 2018/19 and £100.000 for 2019/20. This is against a total annual figure of just over £500,000 for the LCT Consortium, of which Central Lancashire Dial a Rise is a part.

If approved, these cuts will be devastating to the the level of service offered in our community. The service currently provides a vital file line to older people and disabled constituents who rely on this transport. Any cuts to the funding for this service will be hugely damaging to the lives of many people.

I am writing - along with Chorley's Labour Councillors - ahead of the full council meeting and I trust you can place my objections to these cuts on the record. I appreciate that LCC must balance the needs of everyone in these difficult times, but if the cuts go ahead as proposed, some of the most vulnerable residents of Chorley will be affected.

Yours sincerely

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Rt Hon Sir Lindsay Hoyle MP County Councillors Berry, Holgate, Khan and Snape

Member of Parliament for Chorley

# From:

To: Modern Gov Enquiries < moderngov@lancashire.gov.uk> Subject: Budget Consultation Sent: 23 January 2018 19:56

apologise for the delay in responding to your budget consultation and hope we are advice and the way forward on the S106 public rights of way. I hope you can take budget and in particular the charging for pre-planning advice, the environmental not too late to submit some comments. Grimsargh Parish Council support your these comments into account.

Kind regards



**Clerk to Grimsargh Parish Council** 

From: Sent: 05 January 2018 14:09 To: Modern Gov Enquiries <<u>moderngov@lancashire.gov.uk</u>> Subject: From Yealand Conyers parish Council

those on the cycle routes give grave concerns because of the number of potholes. We would any more public services in the area. The condition of some of the road services, especially We have read your budget report and understand the reasons for having to make savings across all services. We ask that existing bus services are protected so that we do not lose urge you not to forget the rural communities.







Appendix C

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## Money Matters -Additional Savings 2018/19 – 2020/21 November 2017



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#### CORP003 – TERMS AND CONDITIONS

Service Name:		LCC Wide –	LCC Wide – Staffing Budgets	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/27			2018/19	
Gross budget 2017	/18	£31	9.042m	
Income 2017/18			N/A	
Net budget 2017/18		£31	£319.042m	
Savings Target and Profiling (discrete year):				
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-3.750	-1.250	0.000	-5.000	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.000	
Decisions needed to deliver the budgete savings	d Council an	Review staff terms and conditions across the County Council and enter into formal consultations with the recognised Trade Unions to achieve at least a £5m saving.		
Impact upon servic	e This may rot turnover.	This may result in low staff morale and increased staff turnover.		
Actions needed to deliver the target savings	s.188 of (Consolidat which would	il would be required to s the Trade Union and ion) Act 1992 on the rec d trigger a formal consul ne purpose of the consul	d Labour Relations ognised trade unions tation of not less than	

to reach a collective agreement to introduce proposed changes to employment terms and conditions.	
The Notice is required as if a collective agreement cannot be reached then the Council could only introduce the changes legally by dismissing staff and at the same time offering re-engagement on the basis of the new terms and conditions	
An Equality Analysis will be undertaken for Cabinet to consider to comply with the Public Sector Equality Duty when the outcome of the consultation is reported back to Cabinet.	

Money Matters -Additional Savings 2018/19 – 2020/21 (including Equality Impact Assessments) Cabinet – December 2017



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#### **CMTY014 – STREET LIGHTING MAINTENANCE**

Service Name:		Street Lighting Maintenance		
Which 'start year' d relate to 2018/19, 2		20	2018/19	
Gross budget 2017	/18	£5	.029m	
Income 2017/18		£1	.036m	
Net budget 2017/18		£3.993m		
Savings Target and	I Profiling (discrete	year):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-1.715	-0.446	0.000	-2.161	
FTE implications: 2018/19	2019/20	2020/21	Total	
0.00	-11.00	0.00	-11.00	
	I			
Decisions needed t deliver the budgete savings	Agree to extend cycle on the illu	Agree to cease night time inspections. Agree to extend the routine maintenance and testing cycle on the illuminated network from 5 to 10 years. Agree to the capitalisation of fault repairs.		
Impact upon servic	be required res	Less routine maintenance, testing and fault repair would be required resulting in a reduced staffing requirement. Likely to be changes to performance levels as the service will be more reactive to publically reported fault repairs.		
Actions needed to deliver the target savings	Undertake cor	Undertake consultation as necessary		
What are the risks associated with thi saving and how wil they be mitigated	<ul> <li>which is mitiga</li> <li>of LED lamps,</li> <li>Any risks could</li> </ul>	of increased complated by the recent and across much of the n be mitigated through of a new policy and i	l ongoing installation etwork. n consultation on the	

#### What does this service deliver?

The service provides and maintains street lighting and illuminated signs and bollards on the highway network in Lancashire. This includes the design, maintenance and installation of lighting assets. The service also manages the asset data to ensure energy efficiencies are realised.

Section 4

## Equality Analysis Toolkit

### Cash limit options CMTY014 Street Lighting Budget For Decision Making Items

November 2017

County Council

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#### What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decisionmakers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sectorguidance/public-sector-providers/public-sector-equality-duty This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting

Jeanette Binns (Equality and Cohesion Manager) at

Jeanette.binns@lancashire.gov.uk

#### Name/Nature of the Decision

To agree proposals on reducing for the County Council's Street Lighting budget.

#### What in summary is the proposal being considered?

Reduce routine maintenance and inspection by 50%

Agree to cease night time inspections.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

The decision will affect people across Lancashire in a broadly similar way and will be kept under review.

## Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Lighting is provided for all Highway Users and it is not anticipated that there will an adverse impact to these groups over other groups.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

No

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

A reduction in maintenance and inspection may lead to more street lighting faults or in longer times to fix faults. However, faults will continue to be repaired as they are identified. It is though acknowledged that many protected characteristics groups such as older and younger people, disabled people, those with diverse religious or ethnic backgrounds, the LGBT community and male or female residents may feel concerned about any proposals affecting street lighting due to the concerns, perceptions and fears of impacts this may have on crime, hate incidents, hate crimes or other anti-social behaviour.

#### **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific subgroups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

Lighting is provided for all Highway Users and it is not anticipated that there will an adverse impact to these groups over other groups, as the human eye naturally adapts to changes in lighting levels and the changes involve represent a very small proportion compared to the range of light the human eye can adapt to. Consequently it is not anticipated that people with protected characteristics will be adversely affected by this proposal.

It is acknowledged that many protected characteristics groups such as older and younger people, disabled people, those with diverse religious or ethnic backgrounds, the LGBT community and male or female residents may feel concerned about any proposals affecting street lighting due to the concerns, perceptions and fears of impacts this may have on crime, hate incidents, hate crimes or other anti-social behaviour.

#### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when.

(Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

There has been no engagement or consultation regarding this proposal.

#### **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities

- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

A reduction in maintenance and inspection may lead to more street lighting faults or in longer times to fix faults. However, faults will continue to be repaired as they are identified.

If faults are not reported or go unfixed this could lead to some feelings of isolation or people being more reluctant to go out, the perception of safety or concerns of crime, anti-social behaviour generally and hate crime from protected characteristics groups. If this is widespread there is a risk that some of the Public Sector Equality Duty's aims such as fostering good relations/community cohesion and advancing equality of opportunity/participating in public life might be affected in connection with this proposal.

#### **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions

within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

None identified

## **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how -

For example:

Adjusted the original proposal – briefly outline the adjustments

Continuing with the Original Proposal - briefly explain why

Stopped the Proposal and Revised it - briefly explain

Continue with the original proposal as no significant changes have been identified.

#### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed. All roads are expected to retain street lighting under this proposal and identified faults will continue to be fixed.

## **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

This proposal contributes towards savings needed to bridge the gap in the medium term financial strategy. Faults will continue to be fixed as they are identified and there is not expected to be any significant disproportionate impact on groups sharing protected characteristics.

## **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how?

Reduce routine maintenance and inspection by 50%

Agree to cease night time inspections.

#### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

The monitoring and review could be done using existing systems that monitor incidents/claims and public contacts. This data could be analysed to inform decisions on lighting levels.

Equality Analysis Prepared By M.DUNWELL

Position/Role Countywide Services Manager

Equality Analysis Endorsed by Line Manager and/or Service Head P.Durnell

Decision Signed Off By

Cabinet Member or Director

## Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact

Jeanette Binns – Equality & Cohesion Manager

Jeanette.binns@lancashire.gov.uk

Thank you

#### **CMTY018 – CONSERVATION AND COLLECTION TEAM**

Service Name:		Conservation a	nd Collection Team
Which 'start year' doe relate to 2018/19, 201		20	)19/20
Gross budget 2017/18	8	£C	).707m
Income 2017/18	·		).350m
Net budget 2017/18		£C	).357m
-			
Savings Target and P	rofiling (discrete y	ear):	
2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
0.000	-0.278	0.000	-0.278
FTE implications:			1
2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00
deliver the budgeted savings Impact upon service	<ul> <li>That the conservation service within the Conservation and Collections Team is required to become conneutral in 2019/20.</li> <li>The Conservation function already does generate external income from providing services to othe museums, historic houses and private owners across the UK and competes for contracts throughout the year. There is potential to increase this area of activitiand to work towards generating additional incom which would support the objective of the service becoming cost neutral.</li> <li>The Collections function is primarily curatorities to complete with the maintenance of records about the items in LCC's collection. There is very little scope for generating external income from this function as it related primarily to the care of LCC's collections.</li> <li>Adequate levels of specialist posts within the Conservation and Collections Team would need to be retained by LCC whilst museum collections and ar museum buildings remain the responsibility of the County Council.</li> </ul>		eady does generate g services to other private owners across racts throughout the se this area of activity og additional income ctive of the service primarily curatorial of records about the is very little scope for a this function as it is CC's collections.

	<ul> <li>The exact number and range of posts would need to be tailored to reflect which collections and which museums remain in LCC's responsibility after the completion of transfer negotiations in 2018.</li> <li>Under any museum transfer arrangements, whilst purportion of collections are proved to a second to a second term.</li> </ul>
	ownership of collections cannot be transferred to a third party, LCC is making the borrower of each collection responsible for the care and conservation of all items included within each loan agreement, which reduces the cost to LCC with each 5 year loan agreement.
	• The intention is to encourage the new operators to generate grant funding for conservation work that could then be undertaken – on a paid basis – by the Conservation and Collection Team.
Actions needed to deliver the target savings	• The conservation service will need to achieve a cost neutral position in 2019/20 by a combination of increasing external income and reducing costs.
	• More external work would need to be undertaken and charges would need to be raised per contract (within what the market for conservation work will bear).
	Consultation with staff and trade unions
What are the risks associated with this saving and how will they be mitigated	• It is not yet known how many museums and consequently which collections will remain the responsibility of LCC or have the responsibility and cost passed onto third parties. Consequently, it is not possible at this stage to calculate what staff numbers and areas of expertise will be required in the future.
	• Whilst LCC retains any collections (even in store) or entire museums, there is a requirement from Arts Council England's Museum Accreditation system for LCC to maintain care of all the items in LCC's ownership. Failure to meet the minimum standards will result in loss of accredited status and inability to apply for a range of funding streams from other bodies (such as Heritage Lottery Fund) that make accredited status a mandatory criteria.
	• For each museum and collection (including the items of the collections held in museum stores) retained by LCC, there will be an amount of time that different members of the team will need to spend with each

museum and collection. Time spent caring for the LCC collections will both affect the opportunity to generate external income and the net budget position.
• Prices to external customers can be increased but not beyond what the market will stand (and that market is particularly effected by any fluctuations in Heritage Lottery Fund investment into museum projects that result in items needing to be conserved)
• A skills mix is required to offer a service to external clients. If the team were to be reduced too far, there is a risk of the service become unviable.

#### What does this service deliver?

The Conservation and Collections Team is split into two functions:

The conservation service provides specialist support to LCC museums at 18 heritage sites across Lancashire. The service consists of three multidisciplinary sections; Technicians, Conservators, & Designers. They provide support and advice on all aspects of collections care and to ensure their preservation for the future. Conservation staff also actively treat museum exhibits for display. The service has a broad range of experience with materials including archaeological, painting and drawings, natural history, social history, ceramics, modern materials and hazardous materials.

The collections service provides support to the museums and the collections by:

- selecting, buying or borrowing items
- organising records, catalogues and indexes
- making sure exhibits are stored under the right conditions
- arranging conservation and restoration
- helping visitors to interpret and enjoy exhibits and collections
- organising publicity and fundraising
- giving talks

#### **CMTY027 – INFORMATION CENTRES**

Service Name:		Informa	ation Centres
Which 'start year' d relate to 2018/19, 20	•	2	018/19
Gross budget 2017	/18	£	0.336m
Income 2017/18			0.138m
Net budget 2017/18		£	0.198m
Savings Target and	l Profiling (discrete y	ear):	
2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.099	-0.099	0.000	-0.198
FTE implications:			
2018/19	2019/20	2020/21	Total
-10.20	0.00	0.00	-10.20
savings	Remove funding Visitor Centre information.	Carnforth railway station. Remove funding for LCC staff working at Morecambe Visitor Centre providing transport and local tourist information.	
Impact upon servic	to public transpo Travel ticketing cease. Impact on bus	<ul> <li>Popular service providing travel information and tickets to public transport users would cease.</li> <li>Travel ticketing provision for LCC employees would cease.</li> <li>Impact on business support services and possibly greater costs to service budgets.</li> </ul>	
Actions needed to deliver the target savings	Lease at Carnfo Property at C requirements. N and would still in	<ul> <li>Consultation with staff and users regarding reductions.</li> <li>Lease at Carnforth will need to be terminated.</li> <li>Property at Clitheroe railway station surplus to requirements. Nelson office would also become vacan and would still incur costs until disposed of/leased.</li> <li>Ensure any agreements with ticket providers are terminated within the required notice period</li> </ul>	

What are the risks associated with this saving and how will	Popular information and advice services withdrawn from the public.	
they be mitigated	Closure of buildings will require disposal, which may be difficult to achieve in their locations therefore still a cos associated with the service.	
	Loss of LCC staff ticket booking service from Carnforth.	
	Empty offices require disposing off, may take time therefore still incur costs.	
	Offer offices to local operators, bus/rail to take on service delivery.	

#### What does this service deliver?

Service provides comprehensive and unbiased public transport information and ticketing service in the outlets. Also provides a ticketing service for LCC employees and Members requiring rail tickets for LCC business.

Morecambe Visitor Centre provides local visitor, tourist and transport information.

Section 4

# Equality Analysis Toolkit

Cash Limit Option CMTY027: Travel Information Centres and Morecambe Visitor Centre For Decision Making Items

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County Council

## What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decisionmakers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sectorguidance/public-sector-providers/public-sector-equality-duty This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting

Jeanette Binns (Equality and Cohesion Manager) at

Jeanette.binns@lancashire.gov.uk

#### Name/Nature of the Decision

Travel Information Centres and Morecambe Visitor Centre.

#### What in summary is the proposal being considered?

Closure of remaining Travel Information Centres at Preston Bus Station, Nelson Interchange, Clitheroe Interchange and Carnforth Railway Station and withdrawal of two members of staff from Morecambe Visitor Centre.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

No, but no specific locational impacts on people with protected characteristics.

## Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

The services are particularly popular with older people and people with disabilities.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

## **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific subgroups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

No specific information but we consider that the services are particularly popular with older people and people with disabilities.

The total number of employees affected is 10.2 FTE.

#### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

Consultation with users, staff, district and parish councils and other affected stakeholders will be carried out before final decision is confirmed.

## **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?

 Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

Proposal may make travel by public transport more difficult for older people and for people with disabilities because other sources of information and tickets are less understandable. Older and disabled people are less likely to use digital alternatives to obtain travel information or tickets. The proposal may be updated following consultations.

#### **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

Yes. Public Transport operators (bus and rail) are reducing face to face information and moving towards digital delivery of information and ticketing.

#### **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments

Continuing with the Original Proposal – briefly explain why

Stopped the Proposal and Revised it - briefly explain

Consultation stage has not yet been undertaken and further work will be required if the proposals progress.

## **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

None identified at this stage. For affected staff, the arrangements set out in the County Council's Transformation Principles will be applied.

Potential mitigations may be identified through the proposed consultation.

## **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected

characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The council is in a position where it needs to make substantial budget savings and, whilst this proposal will have a negative impact on people with protected characteristics, it is considered necessary to make this service reduction.

#### **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how?

Closure of remaining Travel Information Centres at Preston Bus Station, Nelson Interchange, Clitheroe Interchange and Carnforth Railway Station and withdrawal of two members of staff from Morecambe Visitor Centre.

#### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

None identified.

Equality Analysis Prepared By Oliver Starkey

Position/Role Head of Service

Equality Analysis Endorsed by Line Manager and/or Service Head

Decision Signed Off By

Cabinet Member or Director

## Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact

Jeanette Binns – Equality & Cohesion Manager

Jeanette.binns@lancashire.gov.uk

Thank you

#### ASC005 – ADVOCACY SERVICES

Service Name:		Single Point of Contact Service for all Advocacy Services and Delivery of "Lower-Level" Advocacy (Countywide)	
Which 'start year' d relate to 2018/19, 20	-	2018/19	
Gross budget 2017	/18	£0.	148m
Income 2017/18	-		000m
Net budget 2017/18		£0.	148m
Savings Target and	Profiling (discrete y	year):	
2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.074	0.000	0.000	-0.074
FTE implications:			
2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00
0.00	0.00	0.00	0.00
Decisions needed t deliver the budgete savings	d by 50% but c	Reduce the budget for "Lower Level" advocacy services by 50% but continue to provide the Single Point of Contact and statutory advocacy service.	
Impact upon servic	Advocacy exist the most vulner • Have th importar • Have th consider their live • Safegua Advocacy is a through the he	<ul> <li>1. What is advocacy?</li> <li>Advocacy exists to make sure that people, particularly the most vulnerable, are able to: <ul> <li>Have their voice heard on issues that are important to them.</li> <li>Have their views and wishes genuinely considered when decisions are being made about their lives.</li> <li>Safeguard their rights.</li> </ul> </li> <li>Advocacy is a process of enabling people, usually through the help of an "advocate" who can help the individual to obtain and understand the information they need, attend meetings with them in a supportive role, or who speaks up for the individual in situations where they don't feel able to speak for themselves. This can be</li> </ul>	

	especially important when the individual is dealing with public services.	
	2. The current situation	
	Advocacy services in the county council area are available through a Single Point of Contact Service. The Single Point of Contact Service assesses the person's need, if any, for advocacy. This service is provided by N- compass Northwest Itd.	
	<b>If the person is eligible for statutory advocacy</b> (i.e. advocacy that the county council must provide under the Care Act, Mental Capacity Act, Mental Health Act, etc.), the Single Point of Contact service will refer the person to the statutory element of the contract.	
	The statutory element of the contract is provided by Advocacy Focus (who receive referrals directly from the Single Point of Contact Service through N-compass Northwest Ltd.) and is not affected by these proposals.	
	If the person is <u>not</u> eligible for statutory advocacy, the provider of the Single Point of Contact service (N- Compass Northwest Ltd.) can offer a "lower-level" advocacy service. "Lower-level" advocacy is available to adults aged 18+ who are dealing with adult health and social care services. It is usually provided via a single, or otherwise time-limited, session of support either online, over the phone or face-to-face.	
	Offering "lower-level" advocacy allows people to explore issues without needing to access statutory services. This type of advocacy has a preventative role and is intended to reduce the need for more intensive support.	
Actions needed to deliver the target savings	Three-month notice to terminate issued to current provider.	
	Consultation with Clinical Commissioning Groups (CCGs), service users and other partners	
	<ul> <li>Review of future commissioning intentions for advocacy</li> </ul>	
	<ul> <li>An assessment of the value of the current delivery model in meeting the county council's aims and objectives.</li> </ul>	

What are the risks associated with this saving and how will they be mitigated	The likelihood of service changes across the county means that demand for "lower-level" advocacy may increase in the future because vulnerable people may require support to make a complaint or access alternative services if services previously relied on to do this are reduced. Reducing this support for residents means that demand for "lower-level" advocacy may manifest as unmet need and, potentially, greater sustained demand on other social care services
	The current service is open to users of a wide range of public services and reduction would likely impact on the experience of service users engaged with the health and social care system.
	Partners may have a view on reduction of the service and its contribution to their own institutional aims. The CCGs currently contribute a small portion of the overall cost of advocacy services (£180,000 per year) but these contributions are not specifically dedicated to "lower- level" or statutory advocacy and a calculation as to their precise value would be required if the budget option is approved.
	There is therefore a risk that reduction of the service will have a number of consequences related to demand for support by users of public services. Termination of the service may create new demands on other services, and may create new unmet needs.
	Engagement and consultation with service users and partners is important throughout this process.

#### What does this service deliver?

The current purpose of the Single Point of Contact Service for all Advocacy Services and Delivery of "Lower-Level" Advocacy (Countywide) contract is to:

- Offer a Single Point of Contact for all advocacy enquiries in the Lancashire County Council area.
- Provide all "lower-level" advocacy services.

"Lower-level" advocacy is currently offered when advocacy has been assessed as appropriate but when statutory eligibility does not apply. "Lower-level" advocacy involves information, advice, signposting, and peer-to-peer support. The types of "lower-level" advocacy provided by the service varies case by case, consisting of three levels:

- Level 1, a maximum of two sessions (telephone or online only);
- Level 2, telephony-based or online support over a limited number of sessions with a single face-to-face session and;

• Level 3, a maximum of three face-to-face contact sessions in addition to other forms of support.

## Section 4

## Equality Analysis Toolkit

**Budget Option ASC005:** Single Point of Contact Service for all Advocacy Services and Delivery of "Lower-Level" Advocacy (Countywide)

For Decision Making

November 2017

County Council

Items

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## What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decisionmakers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

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http://www.equalityhumanrights.com/private-and-public-sectorguidance/public-sector-providers/public-sector-equality-duty This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

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Jeanette Binns (Equality and Cohesion Manager) at

Jeanette.binns@lancashire.gov.uk

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#### Name/Nature of the Decision

Budget Option ASC005: Single Point of Contact Service for all Advocacy Services and Delivery of "Lower-Level" Advocacy (Countywide)

#### What in summary is the proposal being considered?

#### 1. What is advocacy?

Advocacy exists to make sure that people, particularly the most vulnerable, are able to:

- Have their voice heard on issues that are important to them.
- Have their views and wishes genuinely considered when decisions are being made about their lives.
- Safeguard their rights.

Advocacy is a process of enabling people, usually through the help of an "advocate" who can help the individual to obtain and understand the information they need, attend meetings with them in a supportive role, or who speaks up for the individual in situations where they don't feel able to speak for themselves. This can be especially important when the individual is dealing with public services.

#### 2. The current situation

Advocacy services in the county council area are available through a Single Point of Contact Service. The Single Point of Contact Service assesses the person's need, if any, for advocacy. This service is provided by N-compass Northwest Itd.

**If the person is eligible for statutory advocacy** (i.e. advocacy that the county council must provide under the Care Act, Mental Capacity Act, Mental Health Act, etc.), the Single Point of Contact service will refer the person to the statutory element of the contract. The statutory element of the contract is provided by Advocacy Focus

(who receive referrals directly from the Single Point of Contact Service

through N-compass Northwest Ltd.) and is not affected by these proposals.

**If the person is <u>not</u> eligible for statutory advocacy,** the provider of the Single Point of Contact service (N-Compass Northwest Ltd.) can offer a "lower-level" advocacy service. "Lower-level" advocacy is available to adults aged 18+ who are dealing with adult health and social care services. It is usually provided via a single, or otherwise time-limited, session of support either online, over the phone or face-to-face.

Offering "lower-level" advocacy allows people to explore issues without needing to access statutory services. This type of advocacy has a preventative role and is intended to reduce the need for more intensive support.

The budget option proposes to:

- Continue to provide the Single Point of Contact Service.
- Continue to provide statutory advocacy services.
- Reduce the budget for "Lower Level" advocacy services by 50%.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

The decision is likely to affect people who use the service from across the county in a similar way.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Yes. "Lower-level advocacy" is available to all residents of the county council area who qualify under the specified service criteria. However, the service is predominantly used by client groups with some protected characteristics. Adults with disabilities with a variety of needs are likely to be the most affected.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

## **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc. to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific subgroups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

The latest monitoring data shows that 469 people accessed the service in Q2. 2017 (July-September). Approximately half of these people received advocacy support via the service whilst the other half were referred to the statutory element of the service.

The following is a breakdown of low level advocacy by customer group:

Acquired Brain Injury	1
Mental Health	151
Learning disability	87

Parent Carer	22
Communication difficulty	97
Long term ill health	47
Older Person	8
Physical disability	43
Carer	8
Dementia (has capacity)	2
Autism	2
Stroke	1
Total	469

The client group accessing "lower level" advocacy the most are those with mental health issues at 32% followed by those with a communication difficulty at 20% and people with a learning disability at 19%.

Of the 469 customers 283 (60%) are female, 184 (39%) male and 2 (1%) intersex. There is a higher use of the service by females compared with their relative representation in the Lancashire population – 60% users compared to 51% females in the population – and consequently males are disproportionately lower amongst users – 39% of users but 49% of Lancashire's population.

93% of customers are White British with the remaining 7% from BME groups. This is broadly in line with the general Lancashire population.

The county council also receives case studies and personal "I" statements detailing how the service has assisted individuals to achieve their personal outcomes. These are referred to in Q.2.

At this time we do not have information about the workforce that may be impacted by the proposals.

## Question 2 – Engagement/Consultation

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when.

(Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

No. Engagement or consultation has not taken place but if the proposal goes forward some form of consultation will be carried out. The findings of any consultation will help to finalise any mitigations if this budget option progresses.

The most recent monitoring report from the current provider contained this selection of statements from service users:

"Thank you so much for all your help. I couldn't have got through that meeting without you. It has meant so much having someone who listens to me."

"I haven't used advocacy before but it has been very useful to discuss my concerns with you."

"I didn't understand what was happening before and it made me unhappy. Thank you for attending the meetings with me."

"Thank you so much for listening to me today it has been good to get everything of my chest."

"Thanks for your help it's good to know you are there if we need you"

"I feel so relieved that I have put the complaint in, I am so glad of your support"

"It makes such a difference to me that you are supporting me with Social Services"

"Thank you so much I feel so reassured that it's all sorted."

## Question 3 – Analysing Impact

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

Advocacy is typically sought by individuals who often struggle to have their voices heard in engaging with health and social care services. In this case, clients with physical and/or learning or cognitive disabilities and mental health issues are the predominant users of the service.

Reducing the "lower-level" advocacy service by 50% will clearly affect the users of the service as the same number of users would access a reduced service. However, the budget option does not propose to eliminate "lower level" advocacy entirely and does not affect statutory advocacy services (which the county council will continue to provide via commissioned arrangements).

A reduction in the service will likely impact on service users through longer waiting times or prioritising access. There may also be an impact in the quality of provision; in some cases, the service may, for example, deliver a reduced "lower-level" advocacy service by moving away from face-to-face or over-the-phone contact and instead providing individuals with published material, web-based information or signposting to other services, peer support networks, community groups, or other forms of support.

## **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

N/A

## **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how -

For example:

Adjusted the original proposal – briefly outline the adjustments

Continuing with the Original Proposal – briefly explain why

Stopped the Proposal and Revised it - briefly explain

No; the intention is to continue with the current proposal.

The impact analysis indicates that, while the users of the service include individuals with protected characteristics, "lower-level" advocacy will continue in reduced form and statutory services will continue to be provided.

#### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

"Lower-level" advocacy is currently offered when advocacy has been assessed as appropriate but when statutory eligibility does not apply. "Lower-level" advocacy involves information, advice, signposting, and peer-to-peer support. The types of "lower-level" advocacy provided by the service varies case by case, consisting of three levels:

- Level 1, a maximum of two sessions (telephone or online only);
- Level 2, telephony-based or online support over a limited number of sessions with a single face-to-face session and;
- Level 3, a maximum of three face-to-face contact sessions in addition to other forms of support.

Some of the impact of a reduced service may be mitigated by evaluating and re-allocating resources within the current offer of "lower-level" advocacy, as detailed above. For example, the service could continue to serve a similar amount of clients as it does currently, but with more clients accessing telephone and online support and a reduced offer of face-to-face contact.

# **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The savings proposed by this budget option are set out in the Cash Limit Template and will assist in bridging the funding gap in the Medium Term Financial Strategy.

The proposal is likely to disproportionately impact on people with disabilities and women.

Offering "lower-level" advocacy alongside statutory provision allows people to fully explore their options without needing to immediately access statutory services. "Lower level" advocacy has a preventative role, reducing the need for statutory, intensive support by helping people through provision of information and advice, peer and group advocacy, limited face-to-face interventions, and through self-help resources.

The current delivery model already takes into account the budget context faced by the county council and represents a substantial reduction of "lower level" advocacy provision compared with our previous arrangements (2013-16). For example, the previous contract allowed for up to eight face-to-face sessions while the current service does not offer any more than three sessions.

The likelihood of service changes across the county in the future means that demand for "lower-level" advocacy may increase because vulnerable people may require support to make a complaint or access alternative services if services previously relied on to do this are reduced. Reducing this support for residents means that demand for "lower-level" advocacy may manifest as unmet need and, potentially, greater sustained demand on other social care services.

On balance, given the need to bridge the funding gap, and the potential mitigation available, the proposal is to continue with the option.

# **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how?

To continue with the current proposal:

- Continue to provide the Single Point of Contact Service.
- Continue to provide statutory advocacy services.
- Reduce the budget for "lower level" advocacy services by 50%.

# **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Contract arrangements already in place will continue to monitor and evaluate the impact of the service, and any changes to the service. A commissioning review of all advocacy services is scheduled to take place before commencement of a re-procurement exercise in 2018 with new contracts in place for Spring 2019.

Equality Analysis Prepared by: Kieran Curran

Position/Role: Policy, Information and Commissioning Manager

Equality Analysis Endorsed by Line Manager and/or Service Head Dave Carr: Head of Service, Policy, Information and Commissioning (Start Well)

Decision Signed Off By

Cabinet Member or Director

# Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact

Jeanette Binns – Equality & Cohesion Manager

Jeanette.binns@lancashire.gov.uk

Thank you

### ASC009 – EXTRA SHELTERED CARE SERVICES

Service Name: Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		Extra Sheltered Care Services		
		20	2018/19	
Gross budget 2017/	18	£2	2.600m	
Income 2017/18	-		.100m	
Net budget 2017/18		£2	2.500m	
Savings Target and	Profiling (discrete y	ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.483	-0.161	0.000	-0.644	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
savings Impact upon service	<ul> <li>reassessment of their needs and be subject to the sijudgement as any community based service user. are likely to require a continuation of service organ via home care, roving nights service, reableme greater use of telecare.</li> <li>A few individuals may have their needs best met residential care setting if they require extensive regular night-time support or very frequent visits v cannot be provided under existing domiciliary contracts or within Personal Budgets</li> <li>There could be increased pressure on homecare m which may or may not be able to respond easi increased demand depending on where scheme is other local pressures.</li> </ul>		s would require a e subject to the same ed service user. Most of service organised vice, reablement or needs best met in a quire extensive and frequent visits which ng domiciliary care is on homecare market to respond easily to where scheme is and	
	time to complete	This will also require significant adult social care staff time to complete 130 social care reviews and associated support planning.		

	These changes may also impact on the services of the
	housing partners in whose properties these services are delivered.
Actions needed to deliver the target savings	<ul> <li>Define and agree criteria to identify low usage/low risk.</li> <li>Communicate and give notice to current service providers and ensure current contracts cover decommissioning period.</li> <li>Adult social care to consolidate the reviews.</li> <li>Commissioning and Adult Social Care to prepare an accurate list of residents and care needs and corresponding hours to identify those at risk of not having their needs met in their current home.</li> <li>Consult with residents, care providers, housing providers and elected members.</li> <li>Adult social care to update support plan and make sure appropriate telecare/homecare is in place.</li> <li>Adult social care to provide intensive input to support a small number of residents who may need to move into residential care if they have significant night time needs.</li> </ul>
What are the risks associated with this saving and how will they be mitigated	A proportion of service users may not have their night time care needs met and may have to move into residential care. The County Council could receive increased challenges and complaints as a result of this change to service provision. In order to mitigate the risks robust social care assessments identifying eligible social care needs and skilled support planning to meet any needs that are currently met outside of the planned care provided. A consultation with service users and housing providers will be undertaken in advance of implementation. A programme of reassessments and reviews to be phased and/or additional temporary resource established.

easier transition for service users.
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#### What does this service deliver?

Extra care is a model of somewhere between sheltered housing and a care home targeted at the older people. It allows residents to continue living independently, typically in a self-contained flat or bungalow, while benefiting from personal care and support delivered in a similar manner to homecare services.

Extra Care allows individuals to live in their own accommodation in an Extra Care scheme, promoting independence with the safety net of 24/7 background support, plus additional planned care as required. The services being procured are the personal care and background support at each scheme.

However new schemes usually aim for a minimum of 60 to 70 units and a high proportion or number of tenants having eligible care needs under the Care Act to ensure the 24/7 provision is cost effective. These schemes do not have such numbers of users of the care services and so are not cost effective compared to alternative models.

# Section 4

# Equality Analysis Toolkit

ASC009 Cash Limit Option Physical Support Extra Sheltered Care Services For Decision Making Items

November 2017



www.lancashire.gov.uk

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# What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decisionmakers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sectorguidance/public-sector-providers/public-sector-equality-duty This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting

Jeanette Binns (Equality and Cohesion Manager) at

Jeanette.binns@lancashire.gov.uk

### Name/Nature of the Decision

Cessation of some of the onsite 24 x 7 Extra Care Service that is available in 13 sheltered accommodation schemes across the County.

### What in summary is the proposal being considered?

Cease Extra Sheltered Care services in the lower usage or lower risks schemes. These are likely to number 6-8 schemes out of 13 from across the county.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

There are many sheltered accommodation schemes across the county owned and managed by various Registered Social Landlords and District or City Councils. The schemes are typically 30-50 individual rented flats, they have a visiting scheme manager and are aimed at the over 55's.

For the last 15+ years LCC has commissioned 24 x 7 onsite background (at least 1 x care worker onsite  $24 \times 7$ ) and planned care for a small number of residents that live within 13 specific schemes located across Lancashire.

Over the years the number of residents using the service has fallen as people stay in their homes for longer or choose not to move to this style of accommodation. Residents have to have eligible social care needs identified through a social care assessment under the Care Act to access this service and pay for their planned care visits out of their personal budgets. The schemes, their location and the number of flats and number of residents using the service is as follows :-

Scheme Name	Location	Number of	Number of
		extra care	flats in the
		users with	scheme not

		eligible care needs	using service
Ainscough Brook House,	Ribbleton	10	25
Bannister Brook House	Leyland	10	24
Greenwood Court	Leyland	13	37
Marlborough Court	Skelmersdale	12	38
Kirk House,	Accrington	15	33
HyndBrook House	Accrington	12	17
Plessington Court	Longridge	14	25
St Ann's Court,	Clitheroe	14	21
Stanner Lodge	Lytham St Ann's	6	48
Croft Court	Freckleton	6	16
Torrentum Court ,	Thornton Cleveleys	7	32
Parkside Court	Lancaster	10	26
Beck View	Lancaster	9	27
	Total	130	369

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender

- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Yes. Older People, particularly those with disabilities or poor health

By the very nature of the accommodation being specifically for over the 55 years of age this decision would impact disproportionately those with the protected characteristic of disability, age and gender (women).

This decision would not affect the majority of residents in most of the schemes because they do not use the service.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

## **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific subgroups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

By the very nature of the accommodation being specifically for over the 55 years of age this decision would impact disproportionately those with the protected characteristic of disability, age and gender (women). This decision would not affect the majority of residents in the accommodation because they do not use the service.

# **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

No – if the proposal goes forward consultations in each scheme would be an essential part of any implementation plan.

# **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?

 Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

The impact of the decision will be analysed in detail after a consultation but we anticipate the following:-

Some people with protected characteristics may not be able to continue to live in their homes if they have significant needs that cannot be met by visiting care workers and/or telecare/technology. Until social care reviews have been completed for the 130 people it is not known how many will be effected. All people affected will have their statutory eligible care needs met, although it is possible some individuals may have to move to a different setting that does have 24 hour x 7 day care provision on site.

There is an opportunity for people to pool resources together to collectively purchase care to replace this service, but this is not something that any agency or group could insist upon and therefore is judged unlikely to proceed

# Question 4 –Combined/Cumulative Effect

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

This proposal may add to the cumulative effect of reducing the amount of accessible social housing that is available to people with protected characteristics

that need support over  $24 \times 7$ . It may also increase the exposure of people to the financial impact of possible future changes to the charging policy for non-residential care.

## **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how -

For example:

Adjusted the original proposal – briefly outline the adjustments

Continuing with the Original Proposal – briefly explain why

Stopped the Proposal and Revised it - briefly explain

Until the social care reviews have been completed to identify the people affected current eligible social care needs and alternative solutions explored the options remain the same. The consultation will inform the decisions also.

### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

There are a number of services that can be used to try and mitigate the impact on the tenants that will be affected. There is visiting domiciliary home care service, possibly employing the same care workers who currently work at the schemes, there are various rehabilitation and reablement services that can be used, there are telecare and technology solutions and statutory social care needs will always be met. Service users at these locations would require a reassessment of their needs and be subject to the same judgement as any community based service user: Most are likely to require a continuation of service organised via home care, roving nights service or reablement or greater use of telecare.

Where the impact of the proposal means that service users might be better supported in residential care, the wishes of the individual will be considered carefully as part of the assessment and subsequent decision.

As previously discussed there is an opportunity for people to pool resources together to collectively purchase care to replace this service, but this is not something that any agency or group could insist upon and therefore is judged unlikely to proceed

# **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The reason this service is the subject of a budget option is because the cost of providing onsite care 24 x 7 at only 13 sheltered schemes meeting 130 number of residents needs is not equitable when compared to the situation of the adults and older people that live in their homes in the community or in other sheltered schemes. It represents a more generous offer than can be afforded given the financial pressures on the council, and it is not cost effective compared to alternative patterns of provision for older people

These schemes are small and do not offer the economies of scale that larger built for purpose accommodation does. The other issue is that some of the schemes are not popular with potential residents and any voids are becoming increasingly hard to fill with people who have social care needs. This means that most of the residents in the schemes do not use the service and the numbers are gradually falling even more.

As previously discussed social care reviews are required to identify if any particular resident has a need for the service, but initial estimates based on review activity indicate that there is a relatively low number of people who use the service that have social care needs for background 24 hours x 7 days a week care.

It is acknowledged that some older and disabled people living in the schemes may be particularly adversely affected but, as previously mentioned there are a number of services that can be used to try and mitigate the impact. There is visiting domiciliary home care service, possibly employing the same care workers who currently work at the schemes, there are various rehabilitation and reablement services that can be used, there are telecare and technology solutions and statutory social care needs will always be met. As previously discussed there is an opportunity for people to pool resources together to collectively purchase care to replace this service, but this is not something that any agency or group could insist upon and therefore is judged unlikely to proceed

The proposal will deliver Budget savings as set out in the cash limit template.

### **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how?

Cease Extra Sheltered onsite care services only in the lower usage or lower risk schemes. This will affect between 6-8 out of 13 such schemes across Lancashire and the tenants who live within the schemes now and those who may be considering moving into such schemes in the near future.

### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Will monitor the admissions to residential care placements, any increase in calls to the telecare, any increase in admissions to hospital from the people affected.

The Equality Analysis will be revised once the consultation with current users has concluded

Equality Analysis Prepared By Policy, Information & Commissioning Manager – Age Well

Position/Role Policy, Information & Commissioning Manager – Age Well

Equality Analysis Endorsed by Line Manager and/or Service Head Dave Carr, Head of Service: Policy, Information and Commissioning (Start Well)

Decision Signed Off By

Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact

Jeanette Binns – Equality & Cohesion Manager

Jeanette.binns@lancashire.gov.uk

Thank you

# Money Matters -Additional Savings 2018/19 – 2020/21 Cabinet January 2018



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### <u>CYP001b – SUPPORTING CARERS OF CHILDREN AND YOUNG PEOPLE</u> LOOKED AFTER TOGETHER (SCAYT+)

Service Name:		SCAYT+		
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19	
Gross budget 2017/1	8	f	).638m	
Income 2017/18	· •		).000m	
Net budget 2017/18			).638m	
Savings Target and	Profiling (discrete y	ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.225	-0.225	0.000	-0.450	
		-		
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
savings	<ul> <li>and intervention to children and families who att funding from the Adoption Support Fund. These are:</li> <li>Children who are on a placement order and placed with their adoptive parents.</li> <li>Children who are subject to a Special Guardian Order and who were looked after prior to the ma of the order.</li> <li>Please note this could potentially be a 2 year sa unless the adoption support fund is extended. At stage is has been assumed that this saving is recurr</li> </ul>		Fund. These are: ment order and are ts. Special Guardianship er prior to the making be a 2 year saving is extended. At this s saving is recurrent.	
Impact upon service	parents of looke help them unde person's behavio those behaviou	SCAYT+ currently provides support to carers and parents of looked after children and adopted children to help them understand the reason for the child/young person's behaviours and give them tools to help manage those behaviours. The service also provides direct therapeutic support to some of the more damaged looked after children.		
	Adoption Support adopted childre focused more un who would attr	SCAYT+ does receive some funding from the National Adoption Support Fund (ASF) for specific work with adopted children. If the work that SCAYT+ undertook focused more upon the therapeutic work with children who would attract funding from the ASF this would release some pressure on the budget whilst maintaining		

۲ ډ ډ	a service to looked after children, albeit this service would be reduced. SCAYT+ would provide support to Children who are placed with their adopted family and the proposed adopters at an increased level than they have done previously.
1	They would also provide support to children and carers where there is a Special Guardianship Order in place and the child was looked after immediately before the order.
c t r c	Whilst this would provide additional support to a group of children currently not under the remit of SCAYT+, and thus support keeping families together and reducing the need for social care intervention, it will reduce the capacity within the team amount to support carers of looked after children through difficult periods when in crisis.
-	The predicted impact will be:
	<ul> <li>Positive Impact</li> <li>Decrease in breakdown of placements for children who are subject to Special Guardianship Order, which often result in Children's Social Care providing costly placements or at the least foster placements.</li> </ul>
	<ul> <li>Decrease in need for Children's Social Care intervention at level 4 at a later stage in the child's life.</li> </ul>
	<ul> <li>Increase in the emotional wellbeing and educational attainment of this cohort of children.</li> </ul>
	<ul> <li>Negative Impact</li> <li>Possible increase in placement breakdowns for looked after children, but the service would still support some Looked After Children.</li> </ul>
	• There is a risk that as young people experience more placement breakdowns the costs of future placements increases.
	<ul> <li>Lack of ability to challenge court requested therapeutic services.</li> </ul>
	<ul> <li>Children and Young Peoples' emotional needs remain unmet; increase in risk taking behaviour, self- harming behaviour, poor emotional and mental health.</li> </ul>

	-		
	• Future costs to adult services as young people enter adulthood with unmet emotional and mental health needs.		
Actions needed to deliver the target savings	• Review and change the eligibility criteria for access to the service.		
	• Ensure that every request for therapeutic support that attracts funding from the Adoption Support Fund is directed to SCAYT+ where possible.		
	<ul> <li>SCAYT+ to provide the multiagency specialist assessment that attracts the £2,500 funding.</li> </ul>		
	• SCAYT + to provide the intervention agreed that attracts up to £5000 of funding per child/family.		
	Delivery of service under this eligibility criteria only has funding until 2020 if this is not extended then the funding would cease.		
What are the risks associated with this saving and how will they be mitigated	<b>Cost</b> The service will only generate income if they are proactively and innovatively selling themselves. This can be mitigated against by assurance from the service that the Adoption Support Fund is being invoiced for completed work by the team.		
	<ul> <li>Impact on children and young people currently in care</li> <li>Possible increase in placement breakdowns.</li> </ul>		
	• Possible unmet emotional and mental health needs.		
	The above will be mitigated to a degree by targeting Family Support placements where risk of breakdown is identified.		

#### What does this service deliver?

SCAYT+ provides a targeted service of advice on emotional health and wellbeing to children looked after, foster carers, residential and other child care staff. The service helps to:

- Improve the emotional health and wellbeing of Lancashire's children who are looked after/ adopted and whom Lancashire has a responsibility.
- Increase the understanding about emotional health and wellbeing issues for children and young people who are looked after/ adopted amongst all those working within the professional and carer network.

- Maintain a professional training programme for foster carers, adopters and staff to ensure the services are equipped to deliver quality care to children and young people.
- Provide therapeutic advice and support to the carers of looked after children and young people.
- Provide therapeutic support to children and young people post adoption who have been assessed as needing a service.
- Support in assessing children and young people's emotional health needs.
- Provide therapeutic support directly to children and young who have emotional health needs.
- Provide advice and guidance to professionals working with children with emotional health needs.

From April 2016 to March 2017, 364 children and young people were referred to the service :

305 were Children in Care, 50 were children who had been adopted, 9 were children who were waiting adoption.

Section 4

# Equality Analysis Toolkit

# CYPoo1b: SCAYT+ income generation For Decision Making Items

January 2018

County Council

www.lancashire.gov.uk

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### What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting:

Jeanette Binns (Equality and Cohesion Manager) at Jeanette.binns@lancashire.gov.uk

### Name/Nature of the Decision

Redirect a proportion of the work of SCAYT + to work with more children who would attract monies from the Adoption Support Fund.

### What in summary is the proposal being considered?

The proposal is to redirect a proportion of the work of SCAYT+ so it generates income by providing specialist multi-agency assessment and intervention to children and families who attract funding from the Adoption Support Fund (ASF).

SCAYT+ would provide support to Children who are placed with their adopted family and the proposed adopters at an increased level than they have done previously.

SCAYT+ would also provide support to children and carers where there is a Special Guardianship Order in place and the child was looked after immediately before the order.

Whilst this proposal will provide additional support to children currently not under the remit of SCAYT+, and thus support keeping families together and reducing the need for social care intervention, it will reduce the capacity within the team to support carers of looked after children through difficult periods when in crisis.

From April 2016 to March 2017, 364 children and young people were referred to the service. 305 were Children in Care, 50 were children who had been adopted, and 9 were children who were waiting adoption. Assuming 1/3 of capacity is redirected, this could mean that around 120 fewer Children Looked After, or their carers, would be able to access the service.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

The proposal will affect people across the County. However given there are more children who are in care in East Lancashire and Central Lancashire than in North of Lancashire it is expected that Children in Care from the East and Central are more likely to be affected.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality

- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above - e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Ves The proposal will imr	pact on children and young people.
i i co. The proposal will lim	act on children and young people.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

### **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

From April 2016 to March 2017, 364 children and young people were referred to the service. 305 were Children in Care, 50 were children who had been adopted, and 9 were children who were waiting adoption. Assuming 1/3 of capacity is redirected, this could mean that around 120 fewer Children Looked After, or their carers, would be able to access the service.

### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

There has been no consultation to date. Consultation will need to take place with stakeholders/partners and young people. This is proposed to be done through an engagement day with stakeholders/partners and young people.

### Question 3 – Analysing Impact

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities.
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

The proposal is likely to impact upon the emotional wellbeing of looked after children as access to specialist/targeted support for carers of children looked after and, on occasion, therapeutic services would not be as readily available.

This could lead to an increase in breakdowns of placements and place a vulnerable group of young people at heightened risk to emotional harm and worsened life chances.

### **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

Yes. Investment in and access to services to support children and young people's emotional wellbeing and mental health is a key priority for the Sustainability and Transformation Partnership, Health and Wellbeing Board and the Lancashire Safeguarding Children's Board who have challenged the System as a whole to improve access to services for those who need them and provide interventions earlier, for those that need them.

Reprioritising funding away from support for carers of children looked after has the potential to result in carers not being supported to help children looked after improve their mental health, helping to avoid crisis and to support them through crisis where necessary. Whilst most of the work of SCAYT+ is with carers, there are occasions when SCAYT+ will work directly with children and young people. This proposal may place pressure on the wider system, which is already challenged.

### **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how – For example: Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

The proposal is unchanged given the need to bridge the financial gap in the Medium Term Financial Strategy.

### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

Potential mitigation is through:

- Consultation with stakeholders and children and young people.
- Provide 3 month notice period to any service or child involved with SCAYT+ and refer for assessment those considered to be in need of service to NHS funded Child and Adolescence Mental Health Services or, where thresholds for this service are not met, the County Council's Emotional Wellbeing Services delivered as part of the Children and Families Wellbeing Service.
- Ensure that all cases are subject to rigorous review to identify whether they meet the eligibility criteria for Adoption Support Fund funding and that Adoption Support Funding is secured in all appropriate cases.

### Question 7 – Balancing the Proposal/Countervailing Factors

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The driver for this proposal is to support the County Council in bridging the financial gap that exists in the MTFS.

Whilst the option will reduce the availability of support for Children Looked After and their carers, the majority of the SCAYT+ service activity will still be directed to that cohort. Also, by seeking to increase the level of activity funded from the Adoption Support Fund we will be able to sustain current structures for the duration of that funding, meaning that some flexibility is available to provide an appropriate response in times of crisis. There may though be in excess of 100 children and young people or their carers who are no longer able to access the service each year and who will either not receive a service or who will need to be referred to already stretched alternatives. There is likely to be considerable challenge from Partners within the Children and Young People's Emotional Wellbeing and Mental Health Transformation Programme to the proposed reduction in service.

### Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

Re direct a proportion of work so that similar service is provided to a different cohort of children who attracted ASF monies and are likely to currently be without service or LCC are commissioning these service from the independent sector.

#### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Head of Service to monitor Business Intelligence to provide data to monitor Finance to monitor Evaluate impact of service

Equality Analysis Prepared By Josephine Lee (Senior Strategic Manager Childrens Social Care) / Dave Carr (Head of Service: Policy, Information and Commissioning (Start Well)

Equality Analysis Endorsed by Line Manager and/or Service Head

Decision Signed Off By

Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact: Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Thank you

# CYP015 – YOUTH OFFENDING TEAM (YOT)

Service Name: Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		Youth Offending Team (YOT) 2018/19		
				Gross budget 2017
Income 2017/18			£2.062m	
Net budget 2017/18			E1.343m	
		`		
Savings Target and	Profiling (discrete y	ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.336	0.000	0.000	-0.336	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
	Currently the set funding from the recent peer revie and a recomm Youth Offendir oversight of the The numbers of to the youth jus the service is in savings. A full s enable a 25% re contribution to the It is considered reduce its contailikewise. There	<ul> <li>by cutting functions, and the service would wish to consider bringing currently commissioned functions. Currently the service commissions prevention work via funding from the Police and Crime Commission. In the recent peer review this was considered an inspection risk and a recommendation was made that Lancashire's Youth Offending Team should have management oversight of the delivery of prevention services.</li> <li>The numbers of young people who are first time entrants to the youth justice system has declined and therefore the service is in a position to contribute to the budget savings. A full service restructure would be necessary to enable a 25% reduction in Lancashire County Council's contribution to the budget.</li> <li>It is considered that if Lancashire County Council (LCC) reduce its contribution to the budget, partners will do likewise. Therefore the total reduction to the service is likely to be greater.</li> </ul>		
Impact upon servic	25% reduction £1,007,503 from consider that in	The 2017/18 contribution from LCC is £1,343,337 and a 25% reduction on this would mean a contribution of £1,007,503 from 2018/19. However, it is important to consider that in light of LCC making a reduction of 25% it is likely that all other partners would expect to make a		

	reduction of a similar amount. As we have already seen this financial year the Health Service is already looking to reduce their contributions (and have in the North of the county) and it is likely that the Police are looking to do the same in the next few years. The table below shows the partner contributions and how it would look if they were to reduce by 25%:			
	Partner	Contribution 2017/18	25% reduction	
	Youth Justice Board	£1,356,763	£1,017,572	
	Health	£218,112	£163,584	
	Bail Support	£144,500	£108,375	
	Police	£155,100	£116,325	
		£1,874,475	£1,405,856	
Actions needed to	<ul> <li>£0.804m. The service last restructured in September 2016, the impact of which was considerable for some staff.</li> <li>A further restructure will impact on service and staff morale and compulsory redundancy is likely.</li> <li>Service delivery may be impacted upon during the period of restructure and increase risk if inspected.</li> <li>If offending rates do increase the service may not be able to fulfil its statutory functions.</li> <li>The Youth Offending Team is joint funded by LCC and</li> </ul>			
deliver the target savings	statutory partners, governance is from the Youth Justice Partnership Board. The Board will need to be fully involved in any service proposals and will need to sign off and future savings targets. It will be imperative that the Board is consulted as options are being developed.			
What are the risks associated with this saving and how will they be mitigated	match the LCC be factored in w	reduction in budge ithin any restructur	•	
	service has not responsibilities. time low. The n also significantli increase again.	got the capacity First time offende umbers of young p y reduced but red	acrease again and the to fulfil court directed er rates are at an all- beople in custody has cently has started to preseeable mitigation art activity, however	

investing in prevention services in the Youth Offending Team would support managing young people away from criminal justice.
Risk that service delivery will be impacted upon during and post a restructure and staff leave
Consultation and good communication throughout the restructure can mitigate to a degree.
Loss of knowledge and experience in Youth Offending Team, can be mitigated to a degree by engagement with staff.

#### What does this service deliver?

Lancashire Youth Offending Team (LYOT) delivers statutory youth justice services in Lancashire. The service is measured against other YOTs and against three national targets;

- Reduction of first time offenders
- Reduction of reoffenders
- Reduction of number of young people in custody

LYOT has recently had a peer review which recommended bringing preventative services under the management and control of the service.

LYOT provides reports to the courts, and delivers interventions as directed by the court to young people involved in criminal behaviour.

LYOT has responsibility to supervise young people on orders and in Custody The service works to National Standards and is subject to inspection by HMIP

Section 4

## Equality Analysis Toolkit

### CYPo15: Budget savings to YOT For Decision Making Items

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#### What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting:

Jeanette Binns (Equality and Cohesion Manager) at Jeanette.binns@lancashire.gov.uk

#### Name/Nature of the Decision

Reduction in the contribution to the Youth Offending Team from Lancashire County Council.

#### What in summary is the proposal being considered?

Lancashire County Council's contribution to the Youth Offending Team budget to be reduced by 25%

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

Impact on young people involved within the criminal justice system, their victims and communities.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Yes

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

#### **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

The impact would be on young people aged 10 to 18 involved in the criminal justice system. Impact could extend to their victims and their communities.

#### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

No consultation has taken place at this time. Should the proposal be agreed consultation will need to take place with the Lancashire Youth Justice Board and with all members of the service.

It is proposed that partners and board members would be told at the next board meeting, and asked to contribute ideas to an implementation plan.

Members of the service will be consulted and asked to contribute their ideas to an implementation plan.

Formal consultation on a plan would then be for a period of 3 weeks.

If the YOT budget is reduced from April 2018, consultation would need to commence within 2 weeks of the decision being made.

#### **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

Impact on Young People known to the criminal justice system including;

- Less contact with allocated worker
- Potentially additional travel to get to appointments if local bases are closed
- Reduced family work

Impact on victims including;

• Reduced service to victims

Impact on communities;

• Reduction of prevention work with young people increasing criminal behaviour in communities

#### **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

Potential to impact on police, courts, secure estates, children looked after if young people are not accessing services to support them desist from criminal behaviour.

#### **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how – For example: Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

Original proposal to be continued and results of consultation to inform implementation plan.

#### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

The number of young people becoming known to the criminal justice system has reduced both nationally and locally. Should this trend continue the savings can be managed with manageable impact on service delivery. Should the trend change however and numbers increase there would be a significant impact on the ability to deliver all statutory services.

Additionally a recent Peer review identified that there was capacity within the service.

Partners will reduce their funding contribution to match the LCC reduction in budget. This would need to be factored in within any restructure design.

Risk that first time offender rates increase again and the service has not got the capacity to fulfil court directed responsibilities. First time offender rates are at an all-time low. The numbers of young people in custody has also significantly reduced but recently has started to increase again. There is no foreseeable mitigation against changes to police/ court activity, however investing in prevention services in YOT would support managing young people away from criminal justice.

Risk that service delivery will be impacted upon during and post a restructure and staff leave/ lose focus. Impact of this if the YOT were to be inspected. Consultation and good communication throughout the restructure can mitigate to a degree. Loss of knowledge and experience in YOT, can be mitigated to a degree by engagement with staff.

#### **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

There is currently capacity to reduce the LCC contribution to the YOT budget. 25% does not appear an unrealistic amount but, this is likely to be matched by partner contributions which will necessitate a significant reduction to the YOT.

Should the numbers of young people coming to the attention of youth justice increase capacity within the service would need to increase proportionately in order to respond.

#### **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how?

To continue with the proposal as set out in the cash limit template. The proposed reduction can be supported with manageable impact on the young people, victims and communities. Recognition is however acknowledged that if the numbers of young people coming to the attention of Youth Offending Team increase a reinvestment may be required.

#### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Performance monitors impact on a quarterly basis.

Equality Analysis Prepared By Barbara Bath Position/Role Head of Service, Fostering, Adoption, Residential and YOT Equality Analysis Endorsed by Line Manager and/or Service Head

Decision Signed Off By

Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Thank you

#### CMTY024 – COMMUNITY TRANSPORT

Service Name:		Community Transport			
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		:	2018/19		
Gross budget 2017/18		<u> </u>	£1.003m		
Income 2017/18			£0.307m		
Net budget 2017/18		£	£0.696m		
Savings Target and Profiling (discrete year):					
2018/19	2019/20	2020/21	Total		
£m	£m	£m	£m		
-0.254	-0.087	-0.050	-0.391		
FTE implications:					
2018/19	2019/20	2020/21	Total		
0.00	0.00	0.00	0.00		
deliver the budgete savings	to provide a redu Cease provision Transit (BEST subsidised, tax employment who alternative pu (Consultation or completed). The has been subs Transport since	<ul> <li>consortium and revise the in-house Dial-a-Ride provision to provide a reduced service.</li> <li>Cease provision of the Burnley Employment Shuttle Transit (BEST - £0.031m). BEST is a dedicated, subsidised, taxi service connecting local people to employment where it has been assessed that there is no alternative public transport provision available. (Consultation on the withdrawal of this service has been completed). The service was initially grant funded, but has been subsidised by the budget for Community Transport since 2010/11.</li> </ul>			
Impact upon servic	services will be The viability of 0 resulting in addi being lost. Eleven workers	Journeys for those who rely on door to door Dial-a-Ride services will be reduced. The viability of Community Transport may be put at risk resulting in additional services offered by the operators being lost. Eleven workers living in Burnley will no longer be able to access employment using the Burnley BEST service.			
Actions needed to deliver the target savings	transport ope	<ul> <li>Consultation with LCC drivers on reduced working</li> </ul>			

	Burnley BEST contract not retendered.	
What are the risks associated with this saving and how will they be mitigated	If the Lancashire County Council funding were to be reduced, the financial viability of the Community Transport operators could be compromised.	
	A reduction in service will have a negative impact on users, many of whom have protected characteristics as set out in the Public Sector Equality Duty. These impacts are addressed in the accompanying Equality Impact Assessment.	
	Employees currently relying on Burnley BEST may no longer be able to access their jobs.	

#### What does this service deliver?

Community Transport services are provided to eligible users by a consortium of Community Transport operators the consortium operates services in Ribble Valley, Preston and South Ribble, Chorley and West Lancashire under contract to Lancashire County Council. LCC's Travelcare provides an off-peak Dial-a-Ride service in the other six districts.

The consortium provides Dial-a-Ride which are door-to-door services within their operating areas, using vehicles specially adapted to make them easy to use. Vehicles are equipped with lifts and passenger restraints so that wheelchair users can travel without having to transfer to a seat. Services may run to a broad route and timetable. Customers are required to book these services at least 24 hours in advance.

Community Transport also provides a Community Car Scheme where volunteer drivers pick up pre-arranged bookings and take individuals to various appointments, as required.

Section 4

# Equality Analysis Toolkit

CMTY024 (1 of 2): Reduction in Dial-a Ride/Community Transport Provision For Decision Making Items

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#### What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

### http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting Jeanette Binns (Equality and Cohesion Manager) at <u>Jeanette.binns@lancashire.gov.uk</u>

#### Name/Nature of the Decision

Reduction in Dial-a Ride/Community Transport Provision

#### What in summary is the proposal being considered?

Dial-a-Ride and Community Transport (CT) services are largely provided across Lancashire by a combination of in-house provision through the Travelcare service and through a contract with the Lancashire Community Transport (LCT) consortium. The proposal is to reduce County Council funding for these activities. Whilst CT operators obtain some funding through grant awards and other means, the overwhelming majority of funds come from the County Council.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

These changes are likely to have disproportionate effect on smaller communities and those living in rural areas.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

The proposal will have a disproportionate effect on people using the service with the protected characteristics of age, disability and, to a lesser extent, gender. The services provided by Lancashire Community Transport are largely provided by volunteers who may also have protected characteristics.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

#### Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

Dial-a-Ride and other Community Transport services are extensively used by many of our more vulnerable citizens. There are more than 6,200 regular users who, between them, made in excess of 166,000 journeys in 2016/17. The rules for its use are that it is restricted to those who are unable to use conventional bus services or there is no provision. The services are door to door and are of particular help to those who are too frail to use bus services or may have a disability that makes it impractical as the services offer a high level of assistance to passengers boarding and alighting and with their luggage. The services are provided by five delivery partners: Burnley, Pendle and Rossendale CVS, Central Lancs Dial-a-Ride, Little Green Bus, Preston Community Transport and West Lancs Dial-a-Ride along with Lancashire County Council's Travelcare who provide off-peak Dial-a-Ride services in the remaining areas.

The services play a major role in promoting good health and wellbeing, reducing loneliness and isolation and help people access important services.

Lancashire Community Transport currently provides volunteering opportunities for over 160 people who contribute over 33,000 hours pa, equivalent to a financial contribution of approx. £400k per annum.

#### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

Consultation will take place with service users, Lancashire Community Transport providers, community groups, local councils, MPs and volunteers.

Some comments supplied by LCT include:

#### Feedback from passengers includes:

- 'Community Transport is a real life-line and I don't know what I would do without it'.
- 'I am in my 90's, live alone and have poor health. I thought I was destined to spend the rest of my life as a prisoner in my home when Social Services told me about my local community transport. What a godsend, I am able to get my weekly shopping, go to medical appointments and visit places that I thought I would never see again'.
- I am in my late 80's, have a heart complaint and I live in a granny flat on my daughter's farm. She has breast cancer and is not well enough to look after me as well as the farm. Without community transport I would be totally isolated. I am now able go to medical appointments without worrying that I am putting unfair pressure on my family.'

#### Feedback from Volunteers:

- 'When I came to help out at community transport, I had previously suffered a nervous breakdown which left me with no self-confidence, self-esteem or selfworth. .... After driving for community transport for over two years, I applied for a part-time job armed with a new set of important transferrable skills that helped me to get the job. I will never be able to thank community transport enough for believing in me and investing so much time and effort in me to put me 'back on track'.
- 'I had taken early retirement and happened to be looking through a local magazine and came across an advert from my local community transport who were looking for volunteer drivers. .... Being a volunteer gives me a purpose in life. ..... Speaking to the passengers, I realise that I make a massive difference to their lives, which gives me a very good feeling of self-worth.

#### **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities.
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.
- If the LCC funding were to be reduced substantially, many Community Transport operators would be at risk of no longer being financially viable. More than 6,200 individuals and over 1,000 community groups benefit from their services.
- The impact of Lancashire County Council reducing its funding will be a negative impact on some of the most vulnerable members of society and may put at risk the financial viability of some Community Transport services in Lancashire.

This negative impact would include increases in:

Social isolation

- Missed medical appointments
- Loneliness for already vulnerable people
- Mental health issues due to inability to access services
- Malnutrition due to lack of access to food supplies
- Debt issues resulting from people with no means of increasing their weekly income, having to pay for unaffordable transport services rather than the more manageable fare that are charged for the Dial-a-Ride services.
- Decline in physical health and mobility
- Lack of access to key local services

The close relationships that Dial-a-Ride drivers often have with their passengers can be invaluable in detecting issues with passengers such as health crises or similar. The difference that volunteering opportunities make to individuals in terms of raised self-esteem, self-worth, confidence and inclusion in society by providing services to individuals that change their lives should not be underestimated as many volunteers take up their roles due to the fact that they are bored, they feel isolated because they are no longer working and their personal mental health may suffer as a result of this. Along with the loss of volunteering opportunities, it is estimated that the equivalent of 3 full-time posts would be lost within LCC's Travelcare operation.

Lancashire Community Transport provides training for drivers such as The Minibus Driver Awareness Scheme (MiDAS) along with other care skills.

The impact on other local services, including wellbeing services, would be substantial as many local projects rely heavily on community transport as the only affordable means of ensuring that participants are able to access their services. LCT indicate that it makes a financial contribution to the local economy by delivering people to local shopping opportunities of around £2.6m per annum representing a return on investment of £5.20 per £1.

There is a high risk that many Community Transport and Dial-a-Ride users will no longer be able to sustain independent living and will place added pressure on Adult Social Care and Health services.

All of these elements contribute to the Public Sector Equality Duty's general aim of advancing equality of opportunity for those with protected characteristics including in particular supporting their participation in public life, which could be detrimental were the Service to significantly reduce.

#### **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. 113

increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

Yes. Many local services, especially in smaller communities are being withdrawn and concentrated in fewer centres. Such services include banks post offices, local shops, doctors and other services.

#### **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how –

For example: Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

The proposal will be reviewed following consultation.

#### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

Enhancements of the tendered bus network will mitigate some of the impacts for some users but not for those who rely upon assistance and particularly for those who rely on door to door transport because they are unable to walk to a bus stop. No mitigation has been identified for volunteers.

#### **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is

required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

This proposal has been brought forward because of the extreme financial challenges that the County Council is facing. The potential significant adverse impact on CT users – over 6,200 people and 1000 groups – who will have protected characteristics including age and disability will be substantial. Whilst some mitigations will be provided by the re-introduction of some rural weekday bus services, this may not be of benefit to all those who currently use CT services. Additionally there will be an adverse impact on volunteers and employees with CT operators.

#### **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how? The proposal is to reduce County Council funding for Dial-a-Ride and Community Transport activities.

#### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Monitoring may rely upon evidence of increased demand on social care and health services. Such impacts may be difficult to distinguish from the impact of other factors.

Equality Analysis Prepared By Oliver Starkey Position/Role Head of Service: Public and Integrated Transport

Equality Analysis Endorsed by Line Manager and/or Service Head Decision Signed Off By Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact Jeanette Binns – Equality & Cohesion Manager <u>Jeanette.binns@lancashire.gov.uk</u> Thank you Section 4

## Equality Analysis Toolkit

CMTY024 (2 of 2): Burnley BEST Dial-A-Ride Taxi Service For Decision Making Items

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#### What is the Purpose of the Equality Decision-Making Analysis?

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Specific advice on completing the Equality Analysis is available from your Service contact in the Equality and Cohesion Team or from Jeanette Binns <u>Jeanette.binns@lancashire.gov.uk</u>

#### Name/Nature of the Decision

The future of the Burnley BEST Dial-A-Ride Taxi Service.

#### What in summary is the proposal being considered?

The proposal is to cease the Burnley BEST Dial-A-Ride Taxi Service.

The Service was set up in 2010 following cessation of an Urban Bus Challenge Fund project which had run for the previous 5 years which supported people in Burnley and Pendle to travel to work or training where there was no public transport or the person was unable to use it due to mobility difficulties.

The post 2010 Service is provided by Crusader Cars who use their own vehicles and take bookings for journeys. Lancashire County Council maintains the list of members/users and assesses eligibility for membership.

The Scheme is available for members to make journeys to and from work or training between 05.30 a.m. and 23.00 p.m. Monday to Saturday, although journeys must be booked at least 24 hours in advance. The cost to passengers of journeys has remained unchanged since March 2010 at £2 per journey or £18 for a saver strip covering 10 journeys.

The cost of the Burnley BEST scheme has risen gradually during this period (see costs below taken from payment summaries).

	Net Cost	Rev/Cost	Subsidy per passenger
2010/11 (part			
period)	£13,135.50	27%	£4.33
2011/12 Actual	£21,026.90	30%	£4.29
2012/13 Actual	£28,139.98	27%	£5.02
2013/14 Actual	£28,538.41	26%	£5.78
2014/15 Actual	£29,953.29	21%	£6.81
2015/16 Actual	£31,316.33	21%	£7.01
2016/17 Estimated	£31,359.08	21%	£7.10

Over the same period the number of users has steadily reduced. Initially there were over 30 regular users in 2010, by 2016 this had reduced to 11 regular users.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

No. The Burnley BEST Dial-A-Ride Taxi Service operates in Burnley and Pendle and specifically in the LCC Electoral Divisions of Nelson South, Pendle Central, Burnley Rural, Pendle East, Pendle West, Burnley Central East, Burnley North East, Padiham & Burnley West and Burnley South West.

To be eligible to use the Scheme members must need the service to access employment or training, be unable to use the public transport network in East Lancashire either due to lack of appropriate services at times required or due to mobility difficulties. Eligibility is assessed before people can be accepted on to Burnley BEST.

Currently there are 11 regular users of the scheme.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above - e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Information about Burnley BEST current users was obtained from the consultation responses received in August to October 2016. 10 responses were received. Of those responding to the equality/demographic questions.

5 were male and 5 were female. This is reflective of the Lancashire population in terms of gender, 51% female and 49% male.

All 10 respondents were aged 35-64, which is higher than the Lancashire County Council area population of 58% of residents in the 20-64 age group and Burnley and Pendle where 59% of residents are aged 20-64.

None of the respondents stated that they had a disability. This contrasts with the Lancashire population whose day to day activities are limited a little (10%) or a lot (10%) and those in Burnley (12% have day to day activities limited a lot and 11% have activities limited a little) and Pendle (10% of residents have day to day activities limited a lot and 11% have day to day activities limited a little). In comments, however, one respondent did say that they had poor eyesight which meant they were unable to drive.

8 respondents were white British, 1 identified as White Rhodesian and 1 as Asian Pakistani. This is broadly reflective of the ethnicity of population in Lancashire but lower than the Black and Minority Ethnic (BME) percentage for both Burnley (12.6% BME residents) and Pendle (20.1% BME residents).

Given the limited numbers of users it is difficult to assess disproportionate impacts on any particular protected characteristics groups, the impact will be shared equally amongst service users.

Information on other protected characteristics was not requested in this consultation. Any change in arrangements would have some level of impact on current Scheme Members and most significantly on regular Burnley BEST users.

Any decision to cease or significantly change support for Burnley BEST could also adversely affect the contractor Crusader Cars and may impact on their drivers and call handlers.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

#### Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

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None of the respondents stated that they had a disability. This contrasts with the Lancashire population whose day to day activities are limited a little (10%) or a lot (10%) and those in Burnley (12% have day to day activities limited a lot and 11% have activities limited a little) and Pendle (10% of residents have day to day activities limited a lot and 11% have day to day activities limited a little). One respondent, however, did comment that they had poor eyesight which meant that they were unable to drive.

8 respondents were white British, 1 identified as White Rhodesian and 1 as Asian Pakistani. This is broadly reflective of the ethnicity of the population in Lancashire but lower than the BME percentage for both Burnley (12.6% BME residents) and Pendle (20.1% BME residents).

Information on other protected characteristics was not requested in this consultation. There are currently 11 scheme users. Any change in arrangements will adversely impact these members but will most significantly impact those who regularly use the Burnley BEST Scheme.

Any withdrawal of or significant change in support for Burnley BEST would also impact on the contractor Crusader Cars and potentially on its drivers and call handlers.

#### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

Initially when the Burnley BEST was relaunched in 2010 approaches were made to Burnley Borough Council, Pendle Borough Council and 21 companies/organisations associated with Scheme members at that time seeking ideas of how the costs could be supported or seeking contributions towards the financing of the Scheme – these were unsuccessful. A consultation had also been carried out with Scheme members who were very appreciative of the relaunched service.

In August 2016 all current and recently lapsed Burnley BEST members were sent a personal consultation questionnaire. An 8-week consultation period was set with a closing date in October set for receipt of completed/returned questionnaires. 10 responses were received.

10 respondents used Burnley BEST every or most days and one respondent used it a few times a week.

4 respondents made journeys between 5:30 a.m. and 7:30 a.m. whilst 5 used it between 7:30 and 9:30 a.m. and 1 respondent between 9:30 and 3p.m. 9 respondents made journeys between 3p.m. and 4:30p.m and 1 made journeys between 8p.m. and 10 p.m.

10 respondents used Burnley BEST to travel to and from employment. Comments included that the journeys were not possible by public transport to meet shift patterns, etc or that the durations of journeys (e.g. 2 hours each way) made them impossible on public transport.

None of the respondents could identify an alternative means of getting to work if the Burnley BEST facility ended, 9 indicated that they would use none of the other methods suggested and 1 respondent didn't know what they would do.

All 10 respondents said that they would be unable to pay the full cost of £9 per journey suggested in the consultation to make Burnley BESTself-financing. Some indicated that they may be able to make a higher contribution towards the journey costs but others said they were on the minimum wage and would find increases in fares difficult to meet.

#### **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities.
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

As only those who cannot use public transport in East Lancashire either because it is not available or due to mobility difficulties/disabilities are eligible to use the Scheme, any cessation of the arrangement will inevitably make it more difficult or impossible for those people to get to and from work or training.

None of the respondents to the consultation stated that they had a disability but all indicated that either because of their shift patterns or because of the journey times involved in using public transport the only way they could get to and from work was by using Burnley BEST. Any change would affect their ability to participate in public life and adversely affect their equality of opportunity to work. A number of respondents said that they would have to change jobs or give up their jobs if the Scheme was no longer available and one stated that they had taken their current job because the service was available to get them to and from work. Respondents said this was because the journey was complicated or no bus services would allow them to reach work for their contracted working times.

Although no-one identified as having a disability amongst respondents in the monitoring/demographic questions, one respondent said they had poor eyesight and therefore could not drive. Another respondent identified as a single parent and said the service was essential to allow her to continue working and look after her child. A respondent also said the Service was particularly important "to working mums".

Respondents were also concerned as to whether any changes might result in an increase in fares for journeys. A number identified that they were on the minimum wage and that any change would have implications for their finances. The cost of travel for those taking Burnley BEST journeys has been unchanged since 2010 at £2 per journey or £18 for a saver strip covering 10 journeys. Any change to make the Service more reflective of its actual costs either by charging an increased flat rate fare (£9 per journey was suggested in the consultation) or by charging on a more individualised arrangement based on the length of journey will inevitably impact on the financial resources of current Scheme members. The extent of the impact will vary for each individual Member but is most likely to affect those who frequently use it.

The impact on community cohesion/fostering good relations is difficult to identify. However, many respondents did emphasise how courteous the drivers and other staff of Crusader Cars have been with them.

Several respondents said that the service allowed them to get to and from work safely, whilst another said that in addition to a lengthy bus journey to work if the service were withdrawn, they would also need to cross a very busy road which raised safety concerns for that respondent.

The availability of Burnley BEST has contributed for those current and previous scheme users to potentially reducing social isolation. Going to work is often

identified as generally good for people's health and wellbeing and contributing to reduced social isolation as a person is travelling (with a driver in this situation) and working with colleagues. Should scheme members be unable to remain in work – as some have suggested – this could contribute to increasing their social isolation. It is unlikely that any decision to cease or change the Burnley BEST service would have a disproportionately adverse effect in terms of younger or older people, ethnicity, gender or disability. However, there is potentially a significant adverse impact for those who use the Scheme compared to other members of the population who do not if changes to its operational arrangements are made and particularly if it is withdrawn.

This is a Scheme which only operates in the Burnley and Pendle areas and has no equivalent financed by the County Council elsewhere in Lancashire, however the County Council does provide administrative support to West Lancashire Borough Council for a similar scheme in the Up Holland/Skelmersdale area. It is arguable that residents in other parts of the county may face similar difficulties in getting to and from work or in selecting what jobs they may be able to take up and which are impracticable for similar reasons to those which the Burnley BEST consultation respondents have identified. Those situations, however, would not be impacted in the same way by a County Council decision as will the situation for the current users of Burnley BEST.

#### **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

This proposal is part of a wider proposal to reduce financial support for Community Transport Services operating in Lancashire.

As part of the County Council's 2016/17 budget a budget option affecting withdrawal of support for subsidised bus services was included. The final outcome of this proposal was the creation of a £3 million fund to retain a number of bus services particularly to assist people to access education, employment, health, social and leisure activities. Bus operators and other Councils also assisted in retaining other

routes. However, over 40 services were ended including a number of early morning and late evening/night Services, other Services have merged or routes have changed. This may have impacted on the availability of alternative Services which, for a few Scheme members, may increase the effect of this decision. Subsequently additional funding has been made available in 2017 to increase weekday bus services in various parts of the county with many changes taking effect from December 2017, though these may not significantly benefit current users of Burnley BEST.

It is possible that some members of Burnley BEST may be affected by changes associated with the Government's reforms to welfare benefits including changes affecting Universal Credit or other "in work" benefits.

As many respondents stated that they were on the minimum wage, rises in inflation or the cost of living may also increase the impact of any changes made to the Burnley BEST scheme.

#### **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

This proposal was developed in 2016 but was not taken forward at that time. It is substantially unchanged except that it is to consider ceasing the Burnley BEST scheme from 31 March 2018.

#### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

The possibilities for mitigating the possible impact of this decision appear to be very limited and their possible effectiveness will be dependent on people meeting eligibility criteria or on other individuals being willing to participate in them.

One respondent in their comments indicated they had poor eyesight which prevents them from driving, this might raise the possibility for that individual of considering approaching the DWP's Access to Work Scheme which can potentially assist eligible disabled people with additional work related costs arising from a disability. This could include assistance with costs of travel to and from work if the additional cost is associated with a person's disability – e.g. an inability to drive for disability related reasons - and no suitable public transport available may be grounds for eligibility under the Access to Work Scheme.

The County Council has promoted car sharing initiatives at different times, consideration could be given to whether a specific targeted promotion could be carried out to assist these individuals.

Consideration might also be given to whether it is practicable for any of the current service users to travel together potentially reducing the cost per journey. This would rely on members being prepared to have their details shared and to potentially have slightly increased journey times.

Consideration of assessing with Crusader Cars whether there are opportunities for Scheme members to make greater use of "pooled" journeys.

#### **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

Given the increasing cost to the County Council of supporting the Burnley BEST scheme, periodic reviews of its sustainability have taken place since 2010. This has coincided with a period of unprecedented financial restraint for the County Council. More recently the County Council has had to move towards prioritising Services on the basis of those which are statutory. The support provided by the Burnley BEST Scheme does not fall within the range of provision which the County Council is statutorily required to deliver.

At the present time the income for the Burnley BEST scheme meets only around 21% of its running costs and requires a significant contribution form the County Council to continue operating. Currently the County Council contributes over £31,000 per annum to the Scheme which might be seen as around £2,800 for each user annually.

Furthermore, it is estimated in the Medium Term Forecast that the County Council faces a significant funding gap to deliver its statutory services.

It is acknowledged that any change to arrangements for members/users of the Burnley BEST Scheme will have a significant adverse impact on the individuals concerned in terms of their ability to travel to and from their place of work, possibly to continue their employment and maintain their current living standards/income. Whilst some mitigation may be possible through promotion of car sharing opportunities, member(s) being eligible for Access to Work support if their conditions/disabilities meet its criteria or considerations of other arrangements, this may not remove the disadvantage for some or all of the current users.

#### **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how? The future of the Burnley BEST Dial-A-Ride taxi service.

#### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Review and monitoring arrangements will be considered in light of the outcome of this decision.

Equality Analysis Prepared By Oliver Starkey, Head of Service: Public and Integrated Transport

Equality Analysis Endorsed by Line Manager and/or Service Head Decision Signed Off By Cabinet Member or Director

#### Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

Where specific actions are identified as part of the Analysis please ensure that an EAP001 form is completed and forwarded to your Service contact in the Equality and Cohesion Team.

Service contacts in the Equality & Cohesion Team are: Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

### CMTY026b - DISCRETIONARY CONCESSIONARY TRAVEL

Service Name:		Discretionary Co	oncessionary Travel		
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19		
Gross budget 2017/18		£26	£26.349m		
Income 2017/18	Income 2017/18		£7.769m		
Net budget 2017/18	Net budget 2017/18		£18	£18.580m	
Savings Target and	l Pro	ofiling (discrete y	ear):		
2018/19		2019/20	2020/21	Total	
£m		£m	£m	£m	
-0.043		-0.044	0.000	-0.087	
FTE implications:					
2018/19		2019/20	2020/21	Total	
0.00		0.00	0.00	0.00	
Decisions needed to deliver the budgete savings Impact upon service	d	Agree to Increase the charge made to disabled NoWe holders for travel before 0930 Monday to Friday from to £1.00.		ay to Friday from 50p ely upon bus travel	
			need to pay £1.00 ir		
Actions needed to deliver the target savings		and include see	n with disability grou king views on coinag plan for bus operato	5	
		Concessionary although as it	Travel scheme will is a discretionary suitable time during	need amendment, element it can be the lifespan of the	
What are the risks associated with this saving and how will they be mitigatedGroups representing disabled people are likely to to this proposal however the 50p charge has not increased for over 10 years.					

Blackpool Council and Blackburn with Darwen Council also operate a 50p charge. A communication plan will be required for cross boundary services.
---

#### What does this service deliver?

The service manages the mandatory national concessionary travel scheme for Lancashire County Council.

A charge allowing those passengers, with a disabled person's pass, to travel before 0930 Monday to Friday is a discretionary element of the scheme.

Section 4

# Equality Analysis Toolkit

CMTYo26b: Discretionary Concessionary Travel – Increase charges before 9.30am For Decision Making Items

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#### What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting:

Jeanette Binns (Equality and Cohesion Manager) at Jeanette.binns@lancashire.gov.uk

#### Name/Nature of the Decision

**Discretionary Concessionary Travel** 

#### What in summary is the proposal being considered?

Modify the Concessionary Travel Scheme to increase the Monday to Friday pre-0930 fare for Disabled NoWcard holders from 50p per journey to £1.00.

The current English National Concessionary Travel Scheme allows free travel after 0930 on Monday to Friday and all day on Saturdays and Sundays up to 2300. However, Lancashire County Council currently provides a discretionary enhancement to the national scheme by allowing Disable NoWcard holders the opportunity to travel for 50p per journey before 0930 on Monday to Friday. The 50p fare has been in place since 1 April 2008.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

#### No specific locational impacts on people using the disabled person's NoWcard.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above - e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified. Changes to the facility that allows holders of a disabled person's NoWcard to travel before 09.30 on payment of 50p will be restricted to people with a qualifying disability.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

#### Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

There are currently 19,906 holders of disabled persons NoWCards in Lancashire (as at November 2017).

#### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

Consultation with users and staff will be carried out before final decision is confirmed.

#### Question 3 – Analysing Impact

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be

– will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities.
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

The proposal will make it more expensive for disabled people to travel before 9.30am. Consultation responses may reveal further effects.

Any effects will particularly be felt by those making a journey which requires more than one bus prior to 9:30am.

#### **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

Disabled people are still being transferred from Disability Living Allowance (DLA) to Personal Independence Payment (PIP) in Lancashire which can result in a change to the amount of benefit received. A component of both DLA and PIP is about mobility but the assessment criteria has changed so the mobility component may be reduced at the same time as the pre-9:30 concession price is increased. Also some disabled people who receive Employment and Support Allowance may be included in those affected by the Universal Credit roll-out difficulties.

#### **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

Consultation stage has not yet been undertaken and further work will be required if the proposals progress.

#### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

None identified for disabled people travelling before 9.30am.

#### **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The council is in a position where it needs to make substantial budget savings and this proposal will have a negative impact on people with protected characteristics, particularly those with fixed or low incomes or those making journeys which require more than one bus to be taken. The proposal to amend the arrangements for holders of disabled NoWcards may be difficult for those travelling from neighbouring areas with enhanced discretionary travel arrangements.

However, the fare has not risen since 2008 and whilst the rise to £1 does represent a significant increase, it does retains the possibility for people to pay using a single coin which many may find easier than using several coins.

#### **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how?

Raise the pre-9:30 am. fare from 50p to £1 per journey on buses.

#### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Feedback from those affected.

Equality Analysis Prepared By Oliver Starkey Position/Role Head of Service

Equality Analysis Endorsed by Line Manager and/or Service Head Decision Signed Off By Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Thank you

### PH012 – CRIME AND DISORDER – POLICE COMMUNITY SUPPORT OFFICERS

Service Name:			Disorder – Police Support Officers	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		2	018/19	
Gross budget 2017	/18	£	0.319m	
Income 2017/18	-		0.000m	
Net budget 2017/18			£0.319m	
Savings Target and	Profiling (discrete y	vear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.220	-0.045	0.000	-0.265	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
I				
deliver the budgete savings Impact upon servic	County Council E Lancashire Council not directly emp embedded in t Team, managed and deal with is network, espect to and from sch	Officer (PCSO) posts currently part funded by Lancashire County Council (LCC). Lancashire County Council provides funding, but does not directly employ the PCSOs. However two PCSOs are embedded in the Council's Safe and Healthy Travel Team, managed on a day to day basis by officers of LCC, and deal with issues of crime and disorder on the bus network, especially in relation to young people travelling to and from school.		
Actions needed to deliver the target savings	Children and F Police and Constabulary and A minimum o	Consultation required with LCC colleagues e.g. in Children and Family Wellbeing Service, Office of the Police and Crime Commissioner, Lancashire Constabulary and PCSO staff. A minimum of four months' notice to Lancashire Constabulary is required.		
What are the risks associated with this saving and how wil they be mitigated	crime and disor activity, which h costs associate	der escalating into as a higher commu d, including:	possibility of low level more serious criminal nity and public service criminal behaviours	

• An increase in harm / reducing support to the most
vulnerable individuals / communities through e.g. anti-social behaviour
<ul> <li>A reduction in restorative justice approaches and behavioural change work</li> </ul>
• A reduction in delivery of multi-agency initiatives to reduce low level crime and disorder e.g. through diversionary activities
<ul> <li>A reduction in capacity for community engagement / cohesion activity</li> </ul>
• A reduction in capacity to deliver multi-agency Early Action interventions, which may impact on delivery of outcomes for children and young people delivered through the Children and Family Wellbeing Service e.g. Troubled Families Programme.
It is anticipated that the proposal will reduce PCSO capacity in the County. There are currently 281 PCSO posts (265.72 FTE) in Lancashire Constabulary, of which 50 FTE are part-funded by a mixture of schools, colleges and local authorities.
LCC currently part funds 17 Lancashire Constabulary Police Community Support Officers (PCSOs), generally employed in Early Action roles across the County; with 2 posts embedded in the Council's Safe and Healthy Travel Team, manged on a day to day basis by officers of LCC, and dealing with issues of crime and disorder on the bus network, especially in relation to travel to and from school.
Should LCC withdraw funding, it is understood that the Constabulary is likely to consolidate the remaining budget, resulting in the likely retention of 9 out of the current 17 posts.
LCC will also continue to work strategically with partners to reduce crime and disorder in the County.

#### What does this service deliver?

#### Context:

A police community support officer (PCSO) provides a link between the community and the constabulary. Their roles vary widely and can include working to reduce vehicle speeding, reporting vandalism, and reducing antisocial behaviour. PCSOs 142 don't have powers to arrest, but instead they work, often with partner agencies, to protect the community through collaboration.

Currently there are 281 PCSO posts (265.72 FTE) in Lancashire Constabulary, of which 50 FTE are part-funded by a mixture of schools, colleges and local authorities.

LCC has a statutory duty to work with partners to reduce crime and disorder (as do all local authorities) under the Crime and Disorder Act. The PCSOs support the work of LCC, whilst also providing the visible operational commitment of LCC to community safety, albeit under the auspices of the Constabulary.

Section 4

# Equality Analysis Toolkit

## PH012: Crime and Disorder For Decision Making Items

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#### What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting:

Jeanette Binns (Equality and Cohesion Manager) at Jeanette.binns@lancashire.gov.uk

#### Name/Nature of the Decision

Budget Option PH012 – CRIME AND DISORDER

#### What in summary is the proposal being considered?

Agree to cease funding for the Police Community Support Officer (PCSO) posts currently part funded by Lancashire County Council (LCC).

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

The decision will impact across the County where LCC funded PSCOs are deployed in the Police Divisions, often in the areas of the County where deprivation and crime & disorder issues are highest; with the two PCSOs embedded in the Safe and Healthy Travel team deployed across the bus network.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above - e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

It is likely that any decision will impact most on race / ethnicity / nationality in that there are often concentrations of Black Minority Ethnic communities in the most deprived parts of the County. Also possibly there may be impact on age (young people). However the proposal will not cease deployment of PCSOs altogether, although capacity will be reduced. If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

#### Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

Lancashire Insight provides data in relation to population by a range of demographics including ethnicity and age. Currently there are 281 PCSO posts (265.72 FTE) in Lancashire Constabulary, of which 50 FTE are part-funded by a mixture of schools, colleges and local authorities. LCC currently part funds 17 Lancashire Constabulary Police Community Support Officers (PCSOs), generally employed in Early Action roles across the County; with 2 posts embedded in the Council's Safe and Healthy Travel Team, manged on a day to day basis by officers of LCC, and dealing with issues of crime and disorder on the bus network, especially in relation to travel to and from school.

Should LCC withdraw funding, it is understood that the Constabulary is likely to consolidate the remaining budget, resulting in the likely retention of 9 out of the 17 posts.

#### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

If the budget option goes forward consultation will be required with partners / stakeholders prior to final approval.

Consultation required with LCC colleagues e.g. in Children and Families Wellbeing Service, Office of the Police and Crime Commissioner, Lancashire Constabulary and PCSO staff.

A minimum of four months' notice to Lancashire Constabulary is required.

#### **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities.
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

There is the possibility of low level crime and disorder escalating into more serious criminal activity, which has a higher community and public service costs associated, including:

- An increase in youth offending criminal behaviours
- An increase in harm / reducing support to the most vulnerable individuals / communities through e.g. anti-social behaviour
- A reduction in restorative justice approaches and behavioural change work
- A reduction in delivery of multi-agency initiatives to reduce low level crime and disorder e.g. through diversionary activities
- A reduction in capacity for community engagement / cohesion activity
- A reduction in capacity to deliver multi-agency Early Action interventions, which may impact on delivery of outcomes for children and young people delivered through the Children and Family Wellbeing Service e.g. Troubled Families Programme.

It is anticipated that the proposal will reduce PCSO capacity in the County.

It is possible that any decision will impact most on the characteristic of race / ethnicity / nationality, in that there are often concentrations of Black Minority Ethnic communities in the most deprived parts of the County. Amongst other issues, PCSOs deliver activity aimed at reducing the incidence of hate crime. However the proposal will not cease deployment of PCSOs altogether, although capacity will be reduced, so the degree of impact may be considered as relatively low.

#### **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

There may be implications in relation to potential decisions around changes proposed for the Children and Family Wellbeing Service and Youth Offending Team.

#### **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how -

For example: Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

Continuing with original proposal – PCSO capacity will be reduced, but not totally removed.

#### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

Liaise with Lancashire Constabulary to mitigate any adverse effects in terms of deployment of remaining part funded PCSO capacity.

#### **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The proposal is driven by the need for budget savings. It is understood that other agencies are likely to maintain investment in PCSOs and that the Constabulary is likely to consolidate the remaining budget, resulting in the likely retention of 9 out of the 17 posts.

#### Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

To cease funding for Police Community Support Officer (PCSO) posts currently part funded by LCC. It is possible that any decision will impact most on the characteristics

of race / ethnicity / nationality in that there are often concentrations of Black Minority Ethnic communities in the most deprived parts of the County. However the proposal will not cease deployment of PCSOs altogether, although capacity will be reduced, so the degree of impact may be considered as relatively low.

#### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Monitor through analysis of crime and disorder data, in liaison with Lancashire Constabulary.

Equality Analysis Prepared By Clare Platt Position/Role Head of Health Equity, Welfare & Partnerships

Equality Analysis Endorsed by Line Manager and/or Service Head Decision Signed Off By Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Thank you

### PH015 – CHILDREN AND FAMILY WELLBEING SERVICE

Service Name:			Family Wellbeing ervice
	Vhich 'start year' does this option         2018/19           elate to 2018/19, 2019/20 or 2020/21         2018/19		)18/19
Gross budget 2017/18		£2(	).881m
Income 2017/18		£6.185m	
Net budget 2017/18			4.696m
Savings Target and	Profiling (discrete y	ear):	
2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-1.250	0.000	0.000	-1.250
FTE implications:			
2018/19	2019/20	2020/21	Total
-34.28	0.00	0.00	-34.28
	partners i.	<ul> <li>district to deliver the core offer of the service i.e.</li> <li>Physical resources and equipment</li> <li>Funding of group activity delivered by 3<sup>rd</sup> party partners i.e. parenting courses, employability courses for parents</li> <li>Agree to reduce the staffing budget by £0.500m.The service has been operational since April 2017 and the current staffing structure was approved to enable the agreed service specification to be delivered to its full potential. In order to achieve this proposal the current staffing resource would need to be reconfigured. Due to the high level of current staffing vacancies we have been unable to deliver the full service specification in some parts of the County.</li> <li>Agree to convert some of the current vacancy capacity to:</li> <li>Convert 8.19 FTE posts at Grade 6 to create 6 new additional FTE Grade 8 posts as Family Group Conference (FGC) Co-ordinators, this will then enable the Service to be able to have a targeted model of delivery to deliver FGC to cases stepped</li> </ul>	

	<ul> <li>Convert 12.08fte vacant resource Grade 4 to develop and implement a suitable 'Commissioning Framework' to enable commissioning of Voluntary and Community Faith Sector providers, with expertise in delivering targeted youth support services in a group work context to deliver priority targeted activity for young people (predominantly evening provision).</li> <li>Agree to reconfigure remaining current staffing structure to:         <ul> <li>Prioritise case holding roles and functions in order to meet the demands of the national Troubled Families Programme</li> <li>Prioritise resources to ensure we meet our minimum statutory responsibilities</li> <li>Prioritise Outreach and Group Work offer</li> </ul> </li> <li>There would be no requirement to undertake a full consultation as this was completed as part of the original transformation agreed by Cabinet in November 2015. This is purely a reconfiguration of existing staffing resources.</li> </ul>
Impact upon service	<ul> <li>Based on the current number of vacancies implementing this budget option in 2018 would have the following impact:</li> <li>Stretching to maintain reach and statutory universal commitments as part of the children's centre core offer will be extremely difficult with this scale of capacity reduction. This may impact on performance levels and key performance indicators which may be at risk within the Ofsted inspection framework.</li> <li>The scale of vacancies has a significant impact on the services' ability to deliver its published service offer as agreed by Cabinet in September 2016.</li> <li>We are currently operating below our planned caseload capacity and are at risk of being unable to achieve the agreed Troubled Families targets. This puts at risk the TFU anticipated annual income.</li> </ul>

	<ul> <li>We have had to scale back public access and group based programmes in neighbourhood centres.</li> <li>The service is delivering its offer through 79 neighbourhood centres. The impact of this scale of reduction will mean that core delivery in centres will need to be scaled back resulting in service users being unable to access support in some of our centres.</li> <li>There would be an impact on partners who utilise Children's Centre premises for service delivery within the community, reducing communities access to services such as private Nursery Day Care providers, Job Centre Plus, Citizens Advice Bureau, Welfare Rights, Midwifery and Birth Registrations</li> </ul>
Actions needed to deliver the target savings	<ul> <li>Consultation with stakeholders including service users, staff, Voluntary Community and Faith Sector (VCFS) and other external partners.</li> <li>Consultation to identify neighbourhood centres that were to be retained if service provision was scaled back.</li> <li>Complete consultation on the reconfiguration of the service offer.</li> <li>Realign the District non staffing budgets</li> <li>Progress procurement of VCFS Commissioning Framework to deliver 12 – 19 service offer</li> <li>Manage partnership expectations</li> <li>Adhere to HR and contractual obligations</li> <li>Progress immediately with conversion of some vacant current capacity as detailed above. (This would not need to be part of the consultation)</li> </ul>
What are the risks associated with this saving and how will they be mitigated	• Ability to maintain reach and statutory universal commitments as part of the children centre core offer will be extremely difficult with this scale of capacity reduction. This may impact on performance levels

and key performance indicators which may be at risk within the Ofsted inspection framework
Mitigated by the review of neighbourhood centres to be retained that would ensure we meet the statutory requirements i.e. that provision could cover the required reach areas. Consult with universal partners to ensure universal support remains accessible.
• The scale of vacancies has a significant impact on the services ability to deliver its published service offer as agreed by Cabinet in September 2016.
Mitigated by revising the current service offer in line with reduced resource capacity i.e. scale back group based activity.
• We are currently operating below our planned caseload capacity and are at risk of being unable to achieve the agreed Troubled Families targets. This puts at risk the TFU anticipated annual income.
Mitigated by prioritising case holding to families that meet the TFU criteria.
• The service is delivering its offer through 79 neighbourhood centres. The impact of this scale of reduction will mean that core delivery in centres will need to be scaled back resulting in service users being unable to access support in some of our centres.
Mitigated by ensuring our outreach provision was able to provide access to support in areas where service delivered in neighbourhood centres had been scaled back.
• The reduction of service provision within local communities is likely to attract unwanted attention.
Mitigated by consultation with all key stakeholders and an effective communication plan.
• If we were to reduce the number of designated children centres, buildings built using DfE Capital monies are subject to Clawback (See rules below). There is a potential maximum £32m of clawback.

Mitigated through appropriate change of use and would only reach that level if all current designated children's centres were closed.
• There would be an impact on partners who utilise Children's Centre premises for service delivery within the community, reducing community's access to services such as private Nursery Day Care providers, Job Centre Plus, Citizens Advice Bureau, Welfare Rights, Midwifery and Birth Registrations.
Mitigated by consulting with partners and agreeing how we could continue to work alongside partners in the settings that were to be retained.

#### What does this service deliver?

The Children and Family Wellbeing Service brings together Children's Centre provision, Young People's Service provision includes those not in employment, education or training (NEET), Prevention and Early Help panel arrangements and the Emotional Health & Wellbeing Commissioning framework.

The service delivers support at an Early Help level for children, young people and families 0-19 yrs (25yrs for those with special educational needs).

The service delivers Lancashire's response to the National Troubled Families Unit (TFU) agenda.

It contributes to reducing demand on children's social care by prioritising step down from social care, particularly from Level 3 children in need cases.

#### The council's statutory duties relevant to this service include:

- Delivering a 'sufficient' children's centre offer to meet local need so far as this is reasonably practicable (Childcare Act 2006). This is based on population and defined reach areas, with a consideration to retain universal services, whilst concentrating and targeting those children and families who are the most disadvantaged.
- Securing young people's access to 'sufficient' educational and recreational leisure time activities and facilities for the improvement of young people's wellbeing through the delivery of a 'Youth Offer' (Section 507b of the Education and Inspection Act 2006). This includes the duty on the local authority to consult young people about positive activities and other decisions affecting their lives and to publicise information on what positive activities are available in the county/local areas.

Making available to young people below the age of 19 and relevant young adults (i.e. those aged 20 and over but under 25 with learning difficulties) support that will encourage, enable or assist them to participate in education and training (Section 68 of the Education and Skills Act 2008) and ensure that they promote the effective

participation in education or training of young person's 16-17yrs and make arrangements to establish (so far as it is possible to do so) the identities of those young people who are failing to fulfil the duty to participate in education or training – thereby reducing the numbers of NEET young people (Raising Participation Age). The Children and Family Wellbeing Service brings together Children's Centre provision, Young People's Service provision including the NEET agenda, Prevention and Early Help panel arrangements, commissioning frameworks and the Working together with Families programme which is Lancashire's response to the National Troubled Families unit agenda. In addition the redesigned Children and Family Wellbeing Service is expected to deliver the local authority's response to statutory children in need cases.

The Children and Family Wellbeing Service in Lancashire, means identifying as early as possible when a child, young person or their family needs support, helping them to access services to meet their needs, prevent any problems getting worse and reduce the demand for specialist support services. Working together with key partners, we aim to ensure that we have maximum impact on achieving positive outcomes for families.

We prioritise vulnerable groups, individuals and communities, based on assessed levels of need under the following themes:

- Safeguarding and supporting the vulnerable
- Supporting family life
- Enabling learning
- Preparing for work
- Improving community safety
- Promoting health & wellbeing
- Developing healthier places

## Section 4

# Equality Analysis Toolkit

For Decision Making Items PH015: Children & Family Wellbeing Service January 2018



www.lancashire.gov.uk

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#### What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting:

AskEquality@lancashire.gov.uk

Specific advice on completing the Equality Analysis is available from your Service contact in the Equality and Cohesion Team or from Jeanette Binns <u>Jeanette.binns@lancashire.gov.uk</u>

#### Name/Nature of the Decision

Budget option of Children and Family Wellbeing service.

#### What in summary is the proposal being considered?

The element of the proposal considered in this analysis relates to a reduction in the non-staffing budget of £0.750m and a reduction in the staffing budget of £0.500m The Children and Family Wellbeing (CFW) service brought together the Young People's Service provision, including the NEET agenda Children's Centres and Prevention and Early Help along with arrangements in Lancashire for responding to the National Troubled Families Programme and the Emotional Health & Wellbeing Commissioning framework.

The CFW service model will continue to deliver the statutory Children's Centre offer, working with children and their families and with young people aged 12-19+ (aged up to 25 where they have special educational needs or disabilities).

The Service will identify as early as possible when a child, young person or family needs support, helping them to access services to meet their needs, working with them to ensure the support offered is right for them, offered in the right place at the right time. CFW is contributing to reducing demand on children's social care by prioritising step down from social care, particularly from Level 3 children in need cases.

The Service currently operates from 79 neighbourhood centres, with 53 being designated Children's Centres. Services are accommodated in a way which meets the diverse needs of children, young people and their families, including outreach services where appropriate.

This budget option includes; Reduction of non-staffing budget £0.750m

This will be achieved by;

- Reducing the resource made available to each district to deliver the core offer of the service i.e. physical resources and equipment
- Funding of group activity delivered by 3rd party partners i.e. parenting courses, employability courses for parents

### Reduction of staffing budget £0.500m

The service has been operational since April 2017 and the current staffing structure was approved to enable the agreed service specification to be delivered to its full potential. In order to achieve this proposal the current staffing resource would need to be reconfigured. Due to the high level of current staffing vacancies we have been unable to deliver the full service specification in some parts of the County.

The proposed reduction net of £0.500m would be achieved by

- Convert some of the current vacancy capacity to
  - Convert 8.19 FTE posts at Grade 6 to create 6 new additional FTE Grade 8 posts as Family Group Conference Co-ordinators, this will then enable the Service to be able to have a targeted model of delivery to deliver FGC to cases stepped down from CSC.
  - Convert 12.08fte vacant resource Grade 4 to develop and implement a suitable 'Commissioning Framework' to enable commissioning of VCFS providers, with expertise in delivering targeted youth support services in a group work context to deliver priority targeted activity for young people (predominantly evening provision).
- Reconfigure remaining current staffing structure
  - Prioritise case holding roles and functions in order to meet the demands of the national Troubled Families Programme
  - Prioritise resources to ensure we meet our minimum statutory responsibilities
  - Prioritise management oversight and supervision functions
  - Prioritise Outreach and Group Work offer

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

The proposal will affect children, young people and families in all parts of Lancashire but the extent of impact may depend on their location and individual circumstances.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Yes. The nature of the service is that it is targeted at children, young people and their families. This means that the age protected characteristic (children and young people) and pregnancy and maternity protected characteristic group may be particularly affected. As the service also provides specific support for disabled children and young people up to the age of 25 and disabled parents, the disability protected characteristic group may also be affected more than other people in that age group. Other protected characteristics – e.g. gender and ethnicity – may be affected given the location of proposed service points (ethnicity) and gender of parents/carers using the Service.

Information provided by the Service has also indicated that it supports transgender young people, lesbian and gay service users, teenage parents, young parents and young carers.

The service also has a long tradition of supporting young people and promoting a positive attitude towards inclusiveness across the range of protected characteristics.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

Yes

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

### **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

The following information was compiled about the "reach" of the Young People's Service in 2015/16 at the start of the service transformation.

### Young People Service Equality statistics. 2015-16 Reach Achieved

During 2015/16 the total 12-19 young people cohort was 104,338. The service provided services to 30,125 young people, 28.9% of the total cohort. This can be broken down by district as follows;

	No Individuals Reached	12-19 Cohort	% Reached
Burnley	3,802	8,554	44.4%
Chorley	2,899	9,341	31.0%
Fylde	1,433	5,585	25.7%
Hyndburn	2,288	8,185	28.0%
Lancaster	3,423	11,086	30.9%
Pendle	2,489	8,576	29.0%
Preston	3,921	12,881	30.4%
Ribble Valley	1,021	5,276	19.4%
Rossendale	1,254	6,564	19.1%
South Ribble	2,126	9,813	21.7%
West Lancs	2,701	9,719	27.8%
Wyre	2,768	8,758	31.6%
Total	30,125	104,338	28.9%

### Gender

During 2015/16 the gender split between male and female service users is pretty balanced with 28.6% of service users being female and 29.2% of service users being male. The service had 5 people accessing services who identified as Trans Male, 2 in Chorley, 1 in Hyndburn, 1 in South Ribble and 1 in Wyre. One service user in Hyndburn identified as Trans Female.

## Disability

During 2015/16 8% of service users had a disability or learning difficulty. This varied across districts from 5.2% in Burnley to 11.1% in Rossendale. The breakdown per district is illustrated in the table below.

	SEND	12-19 Cohort	% Reached
Burnley	196	3,802	5.2%
Chorley	194	2,899	6.7%
Fylde	145	1,433	10.1%
Hyndburn	152	2,288	6.6%
Lancaster	341	3,423	10.0%
Pendle	150	2,489	6.0%
Preston	351	3,921	9.0%
Ribble Valley	62	1,021	6.1%
Rossendale	139	1,254	11.1%
South Ribble	228	2,126	10.7%
West Lancs	239	2,701	8.8%
Wyre	224	2,768	8.1%
Total	2,421	30,125	8.0%

# Ethnicity

During 2015/16 61.7% of young people who accessed the service were white. For 28.8% of the young people accessing the service no ethnicity is recorded whilst 7.1% Asian young people accessed the service. There are significant variances at district level, for example 22.22% of young people accessing the service in Pendle, 16.73% in Burnley and 14.64% in Hyndburn are from the Asian community.

	Arab	Asian	Black	Chines e	East Europe	Gypsy/ Roma	Mixed	Not Known	White	Total
Total	7	2,133	65	35	6	63	564	8,674	18,578	30,125
12-19 Cohort	19	6,314	231	155	17	161	1,714	32,482	63,245	104,338
% total YP reached	0.0%	7.1%	0.2%	0.1%	0.0%	0.2%	1.9%	28.8%	61.7%	

Whilst 28.9% of the total age 12-19 population accessed the service during 2015/16 this was higher in some communities. For example 39.1% of the total Gypsy/Roma community accessed the service and 36.8% of the Arab community accessed young people's centres.

	Arab	Asian	Black	Chines e	East Europ e	Gypsy / Roma	Mixed	Not Known	White	Total
Total	7	2,133	65	35	6	63	564	8,674	18,578	30,125
12-19 Cohort	19	6,314	231	155	17	161	1,714	32,482	63,245	104,33 8
% Reached	36.8%	33.8 %	28.1 %	22.6%	35.3%	39.1%	32.9 %	26.7%	29.4%	28.9%

## Children's Centre Equality Statistics for 2015/16 are as follows:

The Children's Centre data is only available at district level.

### Gender

The gender statistics for 2015/16 have been broken down by parents/carers and children registered with the children's centres. County wide 64% of parents/carers registered were female and 36% male. The district profile is illustrated in the table below;

District	Total Parents/ Carers	Female	% Female registered	Male	% Male Registere d
Burnley	8540	5827	68%	2713	32%
Chorley	10182	6316	62%	3866	38%
Fylde	4878	2830	58%	2048	42%
Hyndburn	10373	6851	66%	3522	34%
Lancaster	12999	7987	61%	5012	39%
Pendle	8738	6116	70%	2622	30%
Preston	13124	7964	61%	5160	39%

Ribble Valley	3196	1980	62%	1216	38%
Rossendale	5254	3767	72%	1487	28%
South Ribble	8424	5372	64%	3052	36%
Unknown	2944	1701	58%	1243	42%
West					
Lancashire	7729	5060	65%	2669	35%
Wyre	6323	3951	62%	2372	38%
Grand Total	102,704	65722	64%	36982	36%

The number of children receiving services at a children's centre during 2015/16 was more or less equally split between male and female.

### Gender - Children aged 0-5

District	Total Children	Female	% Female registered	Male	% Male Registere d
Burnley	6623	3288	50%	3335	50%
Chorley	8586	4170	49%	4416	51%
Fylde	4094	2012	49%	2082	51%
Hyndburn	9461	4696	50%	4765	50%
Lancaster	10377	5018	48%	5359	52%
Pendle	6926	3347	48%	3579	52%
Preston	9327	4592	49%	4735	51%
<b>Ribble Valley</b>	2368	1164	49%	1204	51%
Rossendale	4520	2225	49%	2295	51%
South Ribble	6257	3012	48%	3245	52%
Unknown	1633	831	51%	802	49%
West					
Lancashire	5851	2839	49%	3012	51%
Wyre	5245	2492	48%	2753	52%
Grand Total	81268	39686	49%	41582	51%

## Ethnicity

During 2015/16 15% of all parents and carers who registered to receive a service from a children's centre were from BME communities. Of those registered 44% attended their local centre. This varied across districts with 57% of all registered BME parents/carers in Rossendale attending a local centre whilst only 32% of registered BME parents/carers in Fylde attended a centre.

District	Total Parents/ Carers	BME Carers	% Registered	Number Attended	Of those BME - % Attende d
Burnley	8542	1669	20%	902	54%
Chorley	10182	796	8%	384	48%
Fylde	4878	386	8%	125	32%
Hyndburn	10374	1749	17%	806	46%
Lancaster	12999	1304	10%	512	39%
Pendle	8742	3077	35%	1637	53%
Preston	13133	4549	35%	1686	37%
<b>Ribble Valley</b>	3196	166	5%	92	55%
Rossendale	5254	618	12%	355	57%
South Ribble	8424	397	5%	118	30%
Unknown	2946	247	8%	70	28%
West					
Lancashire	7777	682	9%	269	39%
Wyre	6323	289	5%	101	35%
Grand Total	102770	15929	15%	7057	44%

### Disability

Disability statistics are available for both parents/carers and children. 2% of all parents/carers who were registered with the service during 2015/16 reported a disability or learning difficulty. Of those 48% attended a centre to receive services.

District	Total Carers	Carers with SEN	% Registered	Number Attended	Of those with SEN % Attende d
Burnley	8542	152	2%	77	51%
Chorley	10182	151	1%	73	48%
Fylde	4878	64	1%	27	42%
Hyndburn	10374	146	1%	64	44%
Lancaster	12999	286	2%	134	47%
Pendle	8742	82	1%	43	52%
Preston	13133	181	1%	78	43%
<b>Ribble Valley</b>	3196	31	1%	19	61%
Rossendale	5254	99	2%	65	66%
South Ribble	8424	115	1%	51	44%
Unknown	2946	36	1%	9	25%
West					
Lancashire	7777	111	1%	55	50%
Wyre	6323	122	2%	63	52%
Grand Total	102770	1576	2%	758	48%

### **Disability - Children**

District	Total Children	Children with SEN	% Registere d	Number Attended	Of those with SEN % Attende d
Burnley	6625	135	2%	47	35%
Chorley	8586	160	2%	67	42%
Fylde	4094	91	2%	39	43%
Hyndburn	9461	200	2%	87	44%
Lancaster	10377	301	3%	96	32%
Pendle	6926	115	2%	68	59%
Preston	9328	125	1%	45	36%
Ribble Valley	2368	54	2%	23	43%
Rossendale	4520	65	1%	50	77%
South Ribble	6257	134	2%	36	27%
Unknown	1652	39	2%	11	28%
West					
Lancashire	5851	138	2%	58	42%
Wyre	5245	135	3%	59	44%
Grand Total	81290	1692	2%	686	41%

### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

Consultation will be undertaken if this budget option proposal is approved with all stakeholders including staff, service users and partner agencies.

#### **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school?

Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities.
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

There will remain a level of universal service available to those assessed as at Level 1 on the Lancashire Continuum of Need in the form of information, advice and guidance and signposting only. These proposals will mean that stretching to maintain reach and statutory universal commitments as part of the children centre core offer will be extremely difficult with this scale of capacity reduction.

Those assessed as being on Level 2 of the Lancashire Continuum of Need are prioritised with a greater level of support being available to them. Included amongst the prioritised groups are those with disabilities or SEN, those affected by domestic abuse, groups such as Travellers and asylum seekers, etc.

The service is currently operating below planned caseload capacity and further reduction in staffing capacity will put the service at risk of being unable to support the number of families that are referred to the service, particularly those that meet the criteria for the Troubled Families programme.

The service has been unable to deliver its published service offer as agreed by Cabinet in September 2016 and has had to scale back public access and group

based programmes in neighbourhood centres which is targeted at vulnerable groups, who are often those with protected characteristics.

The service is delivering its offer through 79 neighbourhood centres. The impact of this scale of reduction will mean that core delivery in centres will need to be scaled back resulting in service users being unable to access support in some areas.

This may mean increased travel for some service users to be able to use an alternative centre. There is concern that the cost or availability of public transport may be an issue for some people and a particular concern that heavily pregnant women or those with very young babies may be particularly disadvantaged by this. This proposal may impact on staff flexible working arrangements, their location of work and other elements of how they deliver their role.

Some group sessions are already over-subscribed and potentially increased demand on a smaller number of children's centres or other resources may exacerbate this difficulty and impact people's ability to participate in some activities. A reduction in service may increase social isolation particularly for the more vulnerable service users coupled with the loss of peer support, mixing with people from different backgrounds and social status and the value of resources and support/help/advice.

### **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

There would be an impact on partners who utilise CFW premises for service delivery within the community, reducing community's access to services such as private Nursery Day Care providers, Job Centre Plus, Citizens Advice Bureau, Welfare Rights, Midwifery and Birth Registrations.

Other budget proposals both nationally – in relation to welfare benefits reform or other support – and locally may also increase the impact of service changes.

### **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

The impact of this proposal will be mitigated by the service progressing with proposals to work in integrated teams with partners to ensure effective and efficient use of joint resources.

The conversion of 6 new additional FTE Grade 8 posts as Family Group Conference (FGC) Co-ordinators, will enable the service to be able to have a targeted model of delivery to deliver FGC to cases stepped down from Children's Social Care.

The service will develop and implement a suitable 'Commissioning Framework' to enable commissioning of VCFS providers, with expertise in delivering targeted youth support services in a group work context to deliver priority targeted activity for young people (predominantly evening provision).

### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

As part of discussions arising from this proposal, mitigating actions have been considered such as;

- clarification on the availability and nature of the universal service offer;
- addition of all new parents, children and young people at risk of or having experience of child sexual exploitation and refugees amongst prioritised groups;
- The availability of detached, mobile and outreach services as part of the Children and Family Wellbeing Service Offer;
- Neighbourhood Centres will be equipped to meet the needs of the services provided in them and some will offer increased flexibility such as variable opening hours, meeting rooms and private rooms for interviews and consultations.

# **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

This proposal has emerged following the need for the County Council to make unprecedented budget savings.

The Medium Term Financial Strategy reported in the December 2017 forecast that the Council will have a financial shortfall of £157 million in its revenue budget in 2021/22 subject to Cabinet agreement of proposed new savings proposals.

This is a combination of reducing resources as a result of the government's extended programme of austerity at the same time as the Council is facing significant increases in both the cost and demand for its services.

It is acknowledged that this will adversely impact on children and young people and their families, some disabled young people, those who are pregnant or on maternity leave and women disproportionately and in some areas people from BME communities or other ethnic groups/nationalities may be disproportionately affected. Mitigating actions have been considered as outlined in this Equality Analysis.

### Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

## Reduction of non-staffing budget £0.750m

This will be achieved by;

- Reducing the resource made available to each District to deliver the core offer of the service i.e. physical resources and equipment
- Funding of group activity delivered by 3rd party partners i.e. parenting courses, employability courses for parents

### Reduction of staffing budget £0.500m

The service has been operational since April 2017 and the current staffing structure was approved to enable the agreed service specification to be delivered to its full potential. In order to achieve this proposal the current staffing resource

would need to be reconfigured. Due to the high level of current staffing vacancies we have been unable to deliver the full service specification in some parts of the County.

It is likely that this proposal if approved will have an impact on most if not all of the groups with protected characteristics.

### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

The service has established robust monitoring arrangements which will be maintained.

The service will continue to review how existing resources are deployed (internal and external) in order to maintain high quality service provision including the possibility that we may have to deal with reducing staffing capacity.

Equality Analysis Prepared By Debbie Duffell Position/Role Head of Children & Family Wellbeing Service

Equality Analysis Endorsed by Jeanette Binns Decision Signed Off By Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

Where specific actions are identified as part of the Analysis please ensure that an EAP001 form is completed and forwarded to your Service contact in the Equality and Cohesion Team.

Service contacts in the Equality & Cohesion Team are: Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Appendix D

# Money Matters -Additional Savings 2018/19 – 2020/21 Full Council – February 2018



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# Money Matters -Additional Savings 2018/19 – 2020/21 Cabinet - September 2017



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# CYP002 – FAMILY INFORMATION SERVICE

Service Name:		Family Inform	Family Information Service		
Which 'start year' do to 2018/19, 2019/20 c		201	2018/19		
Gross budget 2017/1	8	£0.0	083m		
Income 2017/18		£0.(	000m		
Net budget 2017/18		£0.0	083m		
Savings Target and I	Profiling (discrete ye	ar):			
2018/19	2019/20	2020/21	Total		
£m	£m	£m	£m		
-0.040	0.000	0.000	-0.040		
FTE implications:					
2018/19	2019/20	2020/21	Total		
-2.00	0.00	0.00	-2.00		
Decisions needed to deliver the budgeted savings	the Customer Ac	2	ory function through m 1 <sup>st</sup> April 2018.		
Impact upon service	This will involve Customer Access		the service to the		
Actions needed to deliver the target savings	efficiencies thro	ugh transferring s Service. Training o	on and seek to find the work to the of Customer Access		

### 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

Service Name:			al Care – Fostering	
Which 'start year' do	a this antian rolate	and Residential 2018/19		
Which 'start year' doo to 2018/19, 2019/20 o	-	2018/19		
Gross budget 2017/1	8	£63	.377m	
Income 2017/18		£0.	000m	
Net budget 2017/18		£63	.377m	
Savings Target and F	Profiling (discrete yea	ar):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.800	0.000	0.000	-0.800	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
Decisions needed to deliver the budgeted savings	placement provisi Grant (DSG) and to Health.	on are against the that all therapeuti	n costs of external e Dedicated Schools c costs are charged	
Impact upon service	There is no direct	Reduction in the revenue budget from 1st April 2018.There is no direct impact on the service, there is however some potential future pressure on the DSG.		
Actions needed to deliver the target savings	this will enable the to be generated. I panels and the re will require agree	are now in place in each locality and e precise health and education charges Health costs can then be taken to CCG echarge agreed. Education recharges ment from the Schools Forum. is to be developed with partners to		
		-	ment options will be	

explored	to	ensure	the	best	outcome	and	value	for
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.

<u>Residential Mainstream</u>: 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

Service Name:	Children's Social Care – Newton Europe Diagnostic
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19
Gross budget 2017/18	£134.272m
Income 2017/18	£4.107m
Net budget 2017/18	£130.165m

# Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.906	-1.188	-0.690	-2.784

# FTE implications:

2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00

Decisions needed to deliver the budgeted savings	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.
	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).
Impact upon service	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.
Actions needed to deliver the target savings	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.
	Governance structure in place to evaluate the impact and then develop roll out.

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

Service Name:	Learning Excellence
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19
Gross budget 2017/18	£1.503m
Income 2017/18	£1.997m
Net budget 2017/1	-£0.494m

# Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.158	-0.158	-0.473	-0.789

# FTE implications:

2018/19	2019/20	2020/21	Total
1.00	0.00	0.00	1.00

Decisions needed to deliver the budgeted savings	Agreement for the service to enter new markets i.e. Other Local Authority areas. 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.
Impact upon service	<ul> <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).
Actions needed to deliver the target savings	<ul> <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

Service Name:	Music Service
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19
Gross budget 2017/18	£3.113m
Income 2017/18	£3.492m
Net budget 2017/18	-£0.379m

# Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.150	0.000	0.000	-0.150

# FTE implications:

2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00

Decisions needed to deliver the budgeted savings	Agreement for the service to enter new markets i.e. Other Local Authority areas.
Impact upon service	<ul> <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> </ul>
	• 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
Actions needed to deliver the target savings	<ul> <li>Partnership dialogue to agree shared objectives.</li> <li>Visit organisations and complete demonstrations to</li> </ul>
	<ul> <li>generate additional income</li> <li>Review the potential for commercial partnerships, work with charities and look at the opportunity to</li> </ul>

submit funding.	•	applications	to	secure	additional
runung.					

#### 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

Service Name:	Outdoor Education
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19
Gross budget 2017/18	£1.503m
Income 2017/18	£1.967m
Net budget 2017/18	-£0.464m

# Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.030	0.000	0.000	-0.030

# FTE implications:

2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00

Decisions needed to deliver the budgeted savings	Agreement for the service to maintain the core Outdoor Education business model and maximise the resource of the sites into different markets.
Impact upon service	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.
Actions needed to deliver the target savings	<ul> <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>

Links to dedicated marketing function listed in templat CYP027.	marketing function listed in template
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#### 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

Service Name:		Performance Planning	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		2018/19	
Gross budget 2017/1	8	£0.	451m
Income 2017/18		£0.	627m
Net budget 2017/18		-£0.	.176m
Savings Target and	Profiling (discrete ye	ar):	
2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.020	0.000	0.000	-0.020
FTE implications:			
2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00
Decisions needed to deliver the budgeted savings	Local Authority ar	Agreement for the service to enter new markets i.e. Other Local Authority areas.	
Impact upon service	No impact.	No impact.	
Actions needed to deliver the target savings	<ul><li>web presence</li><li>Marketing presence</li></ul>	web presence, functionality and user interface.	

#### 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

Service Name:	Coroner Services
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19
Gross budget 2017/18	£2.878m
Income 2017/18	£0.000m
Net budget 2017/18	£2.878m

# Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.175	0.000	0.000	-0.175

# FTE implications:

2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00

Decisions needed to deliver the budgeted savings	<ul> <li>Agree to pursue the merger of 3 coronial areas:</li> <li>Blackburn with Darwen</li> <li>Preston and West Lancashire</li> <li>East Lancashire</li> </ul>
	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.
Impact upon service	This would result in an improved service.

Actions needed to	Actions are already underway. A business case has been
deliver the target	submitted and an implementation plan approved.
savings	

#### 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.

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## CORP002 – HUMAN RESOURCES

Service Name:		Human F	Human Resources	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		2018/19		
Gross budget 2017/18		£1.3	£1.334m £0.416m	
Income 2017/18		£0.4		
Net budget 2017/18		£0.9	918m	
Savings Target and Prof	ïling (discrete ye	ar):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.161	0.000	0.000	-0.161	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
Decisions needed to deliver the budgeted savings	Agree to increase the income budget within Human Resources to reflect current income levels.			
Impact upon service	There will be no impact upon the service.			
Actions needed to deliver the target savings	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

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# COM002b – ASSET MANAGEMENT

Service Name:	Asset Management
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19
Gross budget 2017/18	£31.878m
Income 2017/18	£21.865m
Net budget 2017/18	£10.013m

Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.858	0.000	0.000	-0.858

# FTE implications:

2018/19	2019/20	2020/21	Total
-1.00	0.00	0.00	-1.00

Decisions needed to deliver the budgeted savings	<ul> <li>Agree to reduce the following budgets within Asset Management from 1<sup>st</sup> April 2018:</li> <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>	
Impact upon service	<ul> <li>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.</li> <li>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.</li> </ul>	
Actions needed to deliver the target savings	Review arrangements and take policy decisions relating to data capturing and cleansing.	

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 nonoperational) 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

Service Name:	Corporate Finance – Insurance Provision
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19
Gross budget 2017/18	£13.270m
Income 2017/18	£8.969m
Net budget 2017/18	£4.301m

Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-1.250	0.000	0.000	-1.250

2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00

Decisions needed to deliver the budgeted savings	Agree to delay the suggested provision balance of £26m as detailed below which will deliver a recurrent saving of £1.25m from 2018/19.
Impact upon service	<ul> <li>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.</li> <li>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.</li> </ul>
	As at the end of 2017/18, the Council is expected to have accumulated a provision of £22m on the balance

	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.
	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.
	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.
Actions needed to deliver the target savings	A monitoring process will need to be put in place to ensure that actuals are falling in line with forecast over the future years.

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

Service Name:		Corporate Finance – Inherited Pension Liability		
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19	
Gross budget 2017/1	8	£13	.749m	
Income 2017/18		£0.	000m	
Net budget 2017/18		£13	.749m	
Savings Target and	Profiling (discrete ye	ar):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-1.000	-0.400	-0.200	-1.600	
FTE implications:				
2018/19	2019/20	2019/20 2020/21 Total		
0.00	0.00	0.00 0.00 0.00		
Decisions needed to deliver the budgeted savings	J	Agreement to reduce the amount provided for in the budget to fund inherited pension liabilities.		
	mortality rates. W expected that this	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.		
Impact upon service	There will be no i	There will be no impact on the service.		
Actions needed to deliver the target savings		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

Service Name:		Highways – Defe	ect Pothole Repairs	
	Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		2018/19	
Gross budget 2017/1	8	£2.	700m	
Income 2017/18		£0.	000m	
Net budget 2017/18		£2.	700m	
Savings Target and I	Profiling (discrete ye	ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-2.700	0.000	0.000	-2.700	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
I	1			
Decisions needed to deliver the budgeted savings	This expenditure programme func capital. This v expenditure inste	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.		
Impact upon service	There will be no	There will be no impact on service delivery.		
Actions needed to deliver the target savings	through the cap original contribu funded from bo reported as an u	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.

### <u>CMTY005 – HOUSEHOLD WASTE RECYCLING CENTRES (HWRC) AND WASTE</u> <u>TRANSFER STATIONS (WTS)</u>

Service Name:		Waste Services	s – HWRC & WTS	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19	
Gross budget 2017/1	8	£8.	.403m	
Income 2017/18		£0.	.182m	
Net budget 2017/18		£8.	.221m	
Savings Target and I	Profiling (discrete ye	ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.280	-0.140	-0.140	-0.560	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
Decisions needed to deliver the budgeted savings	Agree to re-com based on a com model. Agree to the	<ul> <li>Policy decision taken on 8 and 9 March 2017.</li> <li>Agree to re-commission the HWRC and WTS service based on a combined insourced and outsourced service model.</li> <li>Agree to the provision of £1m within the capit programme for works required.</li> </ul>		
Impact upon service	<ul> <li>Short term resource impacts for delivery of project.</li> <li>Waste service resource re-allocation/re-structuring f management of transferred services.</li> <li>At this stage the actual cost of delivering the service uncertain due to unknown factors including:         <ul> <li>The number of staff that will transfer to the council</li> <li>The revenue cost of items that require procurement</li> </ul> </li> </ul>		n/re-structuring for ering the service is cluding: ransfer to the	

	<ul> <li>Inexperience in delivery of service under the proposed service model</li> <li>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.</li> </ul>			
Actions needed to deliver the target savings	<ul> <li>Provision of £1m capital funding.</li> <li>Procurement of HWRC infrastructure.</li> </ul>			
	Procurement of Transport and Offtakes Contract.			
	<ul> <li>Procurement of offtakes for 'miscellaneous' waste types.</li> </ul>			
	TUPE of HWRC and WTS staff.			
	Transfer of HWRC and WTS permits.			

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)

Service Name:Waste Services – InsuranceWhich 'start year' does this option relate to 2018/19, 2019/20 or 2020/212018/19		– Insurance Costs		
		20	2018/19	
Gross budget 2017/1	8	£2	.567m	
Income 2017/18		£0	.321m	
Net budget 2017/18		£2	.246m	
Savings Target and	Profiling (discrete ye	ar):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-1.000	0.000	0.000	-1.000	
FTE implications: 2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
Decisions needed to deliver the budgeted savings	I of property insura management adv excess in order to made.	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.		
Impact upon service	estimated to be recommendations strategy being	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.		
Actions needed to deliver the target savings		None. Procurement of property insurance from July 201 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 ARISINGS

Service Name:	Waste Services – Waste Arisings	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19	
Gross budget 2017/18	£45.550m	
Income 2017/18	£5.694m	
Net budget 2017/18	£39.856m	

Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.250	-0.250	-0.250	-0.750

2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00

Decisions needed to deliver the budgeted savings	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.
	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.
Impact upon service	Impacts on resources within service for delivery of option.
	The saving proposed is predicated upon 1% of residual waste being prevented and not simply being moved from residual waste to recycling.
	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.

	To target both waste prevention and increases in recycling would require more financial investment and increased staffing resources.		
Actions needed to deliver the target savings	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.		

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.

### <u>PP013 – PLANNING AND ENVIRONMENT (DEVELOPMENT CONTROL – PRE</u> <u>APP ADVICE)</u>

Service Name: Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		Development Control 2018/19		
				Gross budget 2017/18
Income 2017/18		£0	.154m	
Net budget 2017/18		£0	£0.188m	
Savings Target and P	rofiling (discrete ye	ar):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.006	0.000	0.000	-0.006	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
Decisions needed to deliver the budgeted savings	research of what charging for pre-a	Agreement to develop a charging scheme, based on research of what other Local Planning Authorities are charging for pre-application planning advice to ensure does not become a disincentive to developers.		
Impact upon service	result of the char			
The converse is also possible. Charge the uptake of pre-app advice, especial companies. In turn this might result in applications, which will lengthen dete timescales.		ially from smaller in lower quality		
	Councils, and if s uptake of advice	Schemes of pre-app charging are common in most Councils, and if set appropriately do not affect the uptake of advice from large projects.		
•		narging scheme, based on research of Planning Authorities are charging for		

savings

pre-application planning advice to ensure it does not become a disincentive to developers.
Implementation of charges when working with
developers from 1st April 2018.

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.

### <u>PP014 – PLANNING AND ENVIRONMENT (NATURAL ENVIRONMENT</u> INFORMATION)

Service Name: Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		Planning: Environmental Information 2018/19	
Income 2017/18		£0.	151m
Net budget 2017/18		£0.4	485m
Savings Target and Pr	ofiling (discrete ye	ar):	
2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.020	0.000	0.000	-0.020
FTE implications: 2018/19 0.00	2019/20         2020/21         Total           0.00         0.00         0.00		<b>Total</b>
0.00	0.00	0.00	0.00
Decisions needed to deliver the budgeted savings	Agree to increase charges for environmental information.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.		
Impact upon service	<ul> <li>Revised charging scheme will take account of the average charge imposed by Planning Authorities in North West England.</li> <li>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 a it is</li> </ul>		g Authorities in ently provided ue to be the case, ugh the revised

it is.

Actions needed to deliver the target savings	Review charging scheme, and ensure compliance with legislation.
	Approve revised charging scheme in 2017/18 for implementation in April 2018.

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

Service Name:		Public Rights of Way		
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19	
Gross budget 2017/1	8	£0	.577m	
Income 2017/18		£0	.144m	
Net budget 2017/18		£0	£0.433m	
Savings Target and I	Profiling (discrete ye	ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.005	0.000	0.000	-0.005	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
Decisions needed to deliver the budgeted savings	the planning con secure an increa to the public righ dependent upon coming forward f	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.		
Impact upon service	greenfield sites, l local public rights new pressure, lo repaired through budget. In the future, req contributions to in same way that th	<ul> <li>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.</li> <li>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.</li> </ul>		
Actions needed to deliver the target savings	opportunities	Review the process that officers use to identify 106     opportunities and ensure that PROW requirements     are fully considered.		

Make requests to district councils to include contributions to PROW in s106 Agreements
alongside the request made by LCC as the Highway Authority.

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

Service Name:	Apprenticeship Levy
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19
Gross budget 2017/18	£1.500m
Income 2017/18	£0.000m
Net budget 2017/18	£1.500m

Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.250	-0.250	-0.100	-0.600

2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00

Decisions needed to deliver the budgeted savings	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.
Impact upon service	<ul> <li>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.</li> <li>Reprioritisation of training programmes will need to take place to maximise potential income.</li> <li>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.</li> </ul>

Actions needed to deliver the target savings	The implementation of the Apprenticeship Levy has been underway within LCC since notification of the 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.
	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.
	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.
	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.
	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.
	Review and development of long term service specific workforce development plans outlining training requirements, including apprentice recruitment programmes.
	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.

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

Service Name:	Learning Disability Service – Supported Living
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19
Gross budget 2017/18	£105.970m
Income 2017/18	£7.421m
Net budget 2017/18	£98.549m

Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-1.723	-0.413	-0.522	-2.658

FTE implications:			
2018/19	2019/20	2020/21	Total
-6.74	-18.29	-23.10	-48.13

Decisions needed to deliver the budgeted savings	Agree to continuation of the programme to remodel supported living services to lower the costs of care packages over a 3 year period.	
	Agree that the remodelling team remains in place and continues to be funded from reserves at an estimated cost of £0.600m per annum.	
Impact upon service	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'.	
	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.	

	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.	
Actions needed to	<ul> <li>Learning Disability and Autism Team allocation of</li></ul>	
deliver the target	staff to undertake assessment and review work. <li>Stakeholder consultation - people using the service,</li>	
savings	families etc.	

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.

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## ASC002 - DISABILITY SERVICE

Disability Service – Shared Lives
2018/19
£0.802m
£0.025m
£0.777m

Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.180	-0.415	-0.414	-1.009

2018/19	2019/20	2020/21	Total
8.00	0.00	0.00	8.00

Decisions needed to deliver the budgeted savings	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.
Impact upon service	<ul> <li>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.</li> <li>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.</li> <li>The service is judged 'Outstanding' by CQC but if it is to further expand this additional investment is needed to</li> </ul>

	maintain the operational effectiveness of the service, and its high quality and standards.
Actions needed to deliver the target savings	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.

The Shared Lives Service (formerly known as the Adult Placement Service) is familybased 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

Service Name:	Learning Disability & Autism – Supported Living Placement Voids
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19
Gross budget 2017/18	£105.970m
Income 2017/18	£7.421m
Net budget 2017/18	£98.549m

Savings Target and Profiling (discrete year):

	1		
2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.250	-0.250	0.000	-0.500

2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00

Decisions needed to deliver the budgeted savings	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. 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 & support void liability. 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.
	1

Impact upon service	Agreement to direct Learning Disability & Autism Remodelling & Review Team staffing resource to this project (September 2017) Agreement of policy principles (October 2017) Agreement to put a Supported Housing Framework in place (2018) Agreement to enhance the use (and revisit the policy to charge for) assistive technology (March 2018) 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.
Actions needed to deliver the target savings	<ul> <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>

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

Service Name:		Ū.	ability & Autism - olement	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19	
Gross budget 2017/1	8	£10	5.970m	
Income 2017/18		£7.	.421m	
Net budget 2017/18*		£98	3.549m	
*Total LDA commis pooled fund budget	sioned care within			
Savings Target and I	Profiling (discrete ye	ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.161	-0.929	-0.283	-1.373	
1	1		1	
FTE implications:				
2018/19	2019/20	2020/21	Total	
18.00	0.00	0.00	18.00	
Decisions needed to deliver the budgeted savings	focussed, time using existing so on adults with independent and Agree to establ c£0.591m to imp	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.Agree to establishment of new team at a cost of c£0.591m to implement the invest to save proposal.This is an invest to save programme over a 2 year period.		
Impact upon serviceThis would be delivered to adults with learning disativing typically in supported living settings, but a those living within families and in receipt of a services and also to those in transition to adult setThe function of the service is to deliver time enablement, which will improve the ability of the a live more independently and either avoid higher packages being arranged early on (as in transition)		settings, but also to n receipt of council on to adult services. deliver time limited ability of the adult to r avoid higher cost		

	or lead to a reduction in the level of packages of care for those in e.g. supported living.
Actions needed to deliver the target savings	<ul> <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>

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

Service Name:	Adult Services
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19
Gross budget 2017/18	£380.663m
Income 2017/18	£79.381m
Net budget 2017/18	£301.282m

Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-5.022	-7.280	-9.201	-21.503

2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00

Decisions needed to deliver the budgeted	Agreement to update the Medium Term Financial Strategy price and demand assumptions to reflect the reductions detailed above.
savings	
Impact upon service	There will be no impact on the service. 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.
	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).

	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.
	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.
	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.
	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.
Actions needed to deliver the target savings	The MTFS to be updated to reflect the figures detailed above.

### ASC053 – FEE INCOME FROM PROVIDING LCC MANAGEMENT SUPPORT INTO FAILING INDEPENDENT SECTOR REGISTERED RESIDENTIAL AND NURSING HOMES

Service Name:	Older People Service – Management support into failing independent sector CQC registered services	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19	
Gross budget 2017/18	£23.149m	
Income 2017/18	£22.101m	
Net budget 2017/18	£1.048m	

Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.060	0.000	0.000	-0.060

2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00

Decisions needed to deliver the budgeted savings	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.	
	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.	
	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.	

Impact upon service	This proposal puts the service on a firmer business footing and as such is expected to generate additional income.
Actions needed to deliver the target savings	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.

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

Service Name: Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21 Gross budget 2017/18 Income 2017/18 Net budget 2017/18		Customer Access Service 2018/19		
				£5.8
		£2.2	235m	
		£3.6	£3.660m	
		Savings Target and Pr	ofiling (discrete ye	ar):
2018/19 2019/20 2020/21 Total				
£m	£m	£m	£m	
-0.013	-0.040	0.000	-0.053	
FTE implications:				
2018/19	2019/20	2020/21	Total	
-3.00	0.00	0.00	-3.00	
Decisions needed to deliver the budgeted savings	Agree to restructure the support functions across the customer access service. This would be achieved through increased automation and self-service.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.			
Impact upon service	If managed in line with the other options proposed by CAS and the technology implementation, the reduction in support with be manageable by within CAS. The dependencies are therefore critical.			
Actions needed to deliver the target savings	<ul> <li>Define exact details of restructure and impact assess the proposal.</li> <li>Link to technology deliverables and complete robust testing and process plans.</li> <li>Agree timescales and communicate out within the business, including any formal consultation needed.</li> </ul>			

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:

- 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

Service Name:		Custom	Customer Access		
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19		
Gross budget 2017/1	8	£5.	895m		
Income 2017/18		£2.	235m		
Net budget 2017/18		£3.	660m		
Savings Target and	Savings Target and Profiling (discrete year):				
2018/19	2019/20	2020/21	Total		
£m	£m	£m	£m		
-0.020	0.000	0.000	-0.020		
FTE implications:	FTE implications:				
2018/19	2019/20	2020/21	Total		
-1.00	0.00	0.00	-1.00		
deliver the budgeted savings1st April 20 As a non-p this servic		ancashire House r acing building, it is t have all services ba it alternative arrange	sed at Lancashire		
Impact upon service	A different approach to visitors to the building, ie each service to take responsibility of their own.				
Actions needed to deliver the target savingsWide spread communication to Lancashire House including a b Liaison and advice to be sough Management.		e including a briefin	g on the Intranet.		

### 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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- 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.

## CAS009 – CUSTOMER ACCESS SERVICE

Service Name:	Customer Access
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2019/20
Gross budget 2017/18	£5.895m
Income 2017/18	£2.235m
Net budget 2017/18	£3.660m

Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
0.000	-0.118	-0.056	-0.174

## FTE implications:

2018/19	2019/20	2020/21	Total
0.00	-6.00	-2.75	-8.75

Decisions needed to deliver the budgeted	Agree to implement telephony automation.
savings	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.
Impact upon service	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.
Actions needed to deliver the target savings	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.
	It has been highlighted that in order to complete this work a new corporate telephony directory is required

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:

- 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.

## CAS010 – CUSTOMER ACCESS SERVICE

Service Name:		Customer Access	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		2019/20	
Gross budget 2017/1	8	£5.	.895m
Income 2017/18		£2.	235m
Net budget 2017/18		£3.	.660m
Savings Target and	Profiling (discrete yea	ar):	
2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
0.000	-0.060	0.000	-0.060
FTE implications:			
2018/19	2019/20	2020/21	Total
0.00	-3.00	0.00	-3.00
savings the Customer Acc 2. This software h		re and Ask HR. Th ess Service techn as already been s	nis is an element of ology project Phase
		of this technology will benefit the business and will be a more effective	
deliver the targetthe proposal.savings		ils of restructure an deliverables.	nd impact assess
Agree timescales and communicate out within the business, including any formal consultation need			

#### 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 (including Equality Impact Assessments) Cabinet – October 2017



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## CYP011 – SEND SERVICE – SENDIASS/CFSD TEAM

Service Name:		SEND Service – Information Advice and Support (IAS) Team		
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19	
Gross budget 2017/18		£0.	701m	
Income 2017/18		£0.	000m	
Net budget 2017/18		£0.	701m	
Savings Target and Pro	ofiling (discrete ye	ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.265	0.000	0.000	-0.265	
	L. L		I	
FTE implications:				
2018/19	2019/20	2020/21	Total	
-6.00	0.00	0.00	-6.00	
deliver the budgeted recently merged savings		Information Advice	nction review of the & Support Team. n 1 <sup>st</sup> April 2018 by	
Information SEND Server IASSN Que demonstrate • The tear • Contact from oth • An impare • A steer		ice & Support Tea Standards provi IAS is impartial. Th ring its own distinct e team through a s services. y policy.	nese include:	

	A single team sat within the SEND service is best placed 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. The team developing and updating the Local Offer are best placed to provide accurate and up-to-date IAS on the Local Offer. 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'. 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. A triage system will target intensive support to vulnerable groups of parent/carers whilst still providing a service to all parent/carers.
Actions needed to deliver the target savings	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.

### 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.

## Section 4

# Equality

# Analysis Toolkit

## SEND Service – SENDIASS/CFSD Tea For Decision Making Items

September 2017



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## What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting Jeanette Binns (Equality and Cohesion Manager) at <u>Jeanette.binns@lancashire.gov.uk</u>

### Name/Nature of the Decision

Proposed merger of the SENDIASS (Send Information Advice and Support Team) and CFSD Team

#### What in summary is the proposal being considered?

The proposal is to merge the SENDIASS Team with the CFSD Team, which would reduce the revenue budget by £0.265m and potential reduction of 6 full time equivalent posts.

The Teams provide advice to parents and carers who live in Lancashire and have a child or young person aged up to 25 who may have special educational needs or a disability (SEND), or have a child for whom exclusion from school is an issue.

The SEND Code of Practice does not preclude the SENDIASS sitting within the SEND Service and IASSN Quality Standards provides measures to demonstrate the IAS is impartial which include the Team having a distinct identity and logo. Contact to the Team will continue to be by a phone line separate from other local authority services and is covered by an impartiality policy. The steering group overseeing IAS operation includes parent/carer and young people membership.

It is anticipated that a single team sat within the SEND service is best placed to be aware of and continue to be updated on SEND local policy and practices and thus provide children and young people with SEND and their families/carers with IAS. The Team developing and updating the Local Offer are best placed to provide accurate and up-to-date IAS on the Local Offer.

Children and young people with SEND and their families/carers 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 8.45 a.m. - 5 p.m. Monday to Friday dedicated IAS telephone line will form part of this "front door".

The new team will use the proposed SEND IT platform which will ensure that coproduction is developed as all the needed information is available in one location with an option for confidential records, if requested by the family/carer.

A triage system will target intensive support to vulnerable groups of parents/carers whilst still providing a service to all parents/carers.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

This proposal will affect children and young people with SEND and their families/carers across the county in a similar way.

It will also impact on a small number of employees.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

## Yes.

The nature of the service is that it is targeted at children and young people (the age protected characteristic) and disability protected characteristic as many, although possibly not all of the children and young people who could potentially access the service, will meet the Equality Act's definition of disability.

The element of the service which supports those at risk of exclusions could affect a wider range of children and their families.

Just over 5,200 children and young people have an Education Health and Care Plan in Lancashire and a further 20,000 have SEN support which enables them to access the service.

There are 8 officers in the Team who have a caseload of 40-50 families at any one time, so the service supports around 400 families at any one time.

There is also a potential impact on a small number of employees with the proposed reduction of 6 FTE posts, the Team has 17 posts – although though an agreed redundancy and vacancies this reduces the potential number of post reductions.

Detailed information about the protected characteristics of staff affected is not available but information for employees in Children's Services indicates that 66% of employees are aged 40-64, over 98% of employees are White, 1.48% of employees have a disability and 89% of employees are female. In terms of the County Council workforce as a whole there are disproportionately more women in the Children's

Services workforce, BME and disabled employees are under-represented and the age profile is broadly similar to the corporate picture.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

## **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

The nature of the service is that it is targeted at children and young people (the age protected characteristic) and disability protected characteristic as many, although possibly not all of the children and young people who could potentially access the service, will meet the Equality Act's definition of disability.

The element of the service which supports those at risk of exclusions could affect a wider range of children and their families.

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Services workforce, BME and disabled employees are under-represented and the age profile is broadly similar to the corporate picture.

### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

The Lancashire Parent/Carer Forum and Barnardo's who are the contract holder for the young people's engagement group POWAR were engaged in the review process which has informed the options paper.

A recent review of the teams looked at current operating and identified inefficiencies and duplications that will be addressed by the implementation of the merger and new focus and ways of working.

The two Teams were also fully engaged in the service review and writing of the current service specification.

The IAS Service operation will be overseen by a steering group with parent/carer membership and young people.

## **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such

persons is disproportionately low? If not could it be developed or modified in order to do so?

 Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

It is not anticipated that the merger will impact adversely on those children and young people or their families/carers who use it. An impartial service will be available during standard office hours and using a dedicated, independent phone line.

The triage system proposed has been designed to provide intensive support being prioritised to more vulnerable groups of parents/carers and this may impact adversely on other parents/carers. However, it is expected that the signposting and information provided will empower parents/carers to be able to navigate the SEND services themselves reducing reliance on face to face interventions.

The availability of the IAS service will continue to assist with the advancing of equality of opportunity for disabled children and young people and their participation in public life as it is intrinsic to these aims of the Public Sector Equality Duty.

It is accepted that there will be an impact on a small number of employees associated with this proposal. However, the County Council's arrangements associated with the current County Council Transformation including consultation and fair recruitment processes will be followed.

## **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

This proposal should be seen alongside proposals affecting the Customer Access Service in terms of new technology and new ways of working. The CAS will develop equality analyses as their proposals take shape.

## **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

The proposal is unchanged as it will provide a better targeted service to support children, young people and their families/carers.

## Question 6 – Mitigation

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

Mitigation for this proposal includes:

- IASSN Quality Standards provide measures to demonstrate that the IAS is impartial. These include the Team having its own distinct identity and logo.
- Contact with the Team will be through a dedicated phone line separate from other LCC services
- An impartiality policy is in place
- A steering group overseeing its operation with parents/carers and young people membership
- A single team sat within the SEND service will be better able to be aware of and updated on SEND local policy and practice and on the Local Offer to children, young people and their families/carers
- There will be a clear "front door" into the SEND Service which will quickly identify needs and signpost callers to the most appropriate service. This will be available during normal office hours.

### **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is

required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

This proposal has emerged as part of the need for the County Council to reduce its spending due to an estimated funding gap of  $\pounds$ 167.132 million by 2021/22. The reduction of  $\pounds$ 0.265m associated with this proposal will contribute towards the budget reductions required to address this.

It is acknowledged that there may be some adverse impact on children and young people with disabilities and/or SEND and their families/carers, but it is expected that the mitigation identified e.g.

- IASSN Quality Standards provide measures to demonstrate that the IAS is impartial. These include the Team having its own distinct identity and logo.
- Contact with the Team will be through a dedicated phone line separate from other LCC services
- An impartiality policy is in place
- A steering group overseeing its operation with parents/carers and young people membership
- A single team sat within the SEND service will be better able to be aware of and updated on SEND local policy and practice and on the Local Offer to children, young people and their families/carers
- There will be a clear "front door" into the SEND Service which will quickly identify needs and signpost callers to the most appropriate service. This will be available during normal office hours

will reduce the potential adverse impact on those groups.

It is also acknowledged that there will be an impact on some employees as the proposal includes a possible reduction of 6 full time equivalent posts. Whilst consultation and fair recruitment will be carried out in accordance with County Council Transformation requirements, there is a risk that some employees may lose their job.

### **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how? Proposed merger of the SENDIASS (Send Information Advice and Support Team) and CFSD Team from April 2018.

## **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

The steering group will meet termly to oversee and monitor.

Feedback after every intervention is collected and used to steer local direction and used for benchmarking nationally.

Equality Analysis Prepared By Stephen Martin Position/Role SEND Senior Manager Equality Analysis Endorsed by Line Manager and/or Service Head David Graham (Head of SEND) Decision Signed Off By Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact Jeanette Binns – Equality & Cohesion Manager <u>Jeanette.binns@lancashire.gov.uk</u> Thank you

## FR001 – EXCHEQUER SERVICES

Service Name:	Exchequer Services	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21	2018/19	
Gross budget 2017/18	£4.268m	
Income 2017/18	£1.575m	
Net budget 2017/18	£2.693m	

## Savings Target and Profiling (discrete year):

2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-1.300	-0.600	0.000	-1.900

## FTE implications:

2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00

Decisions needed to deliver the budgeted savings	Approval to implement a revised staffing structure, subject to consultation. The revised staffing structure will involve:
	<ul> <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> </ul>

	<ul> <li>Overall therefore the full year revenue effect of the final staffing restructure is:-</li> <li>Reduction in staffing costs £ 0.153m Increase in income £ 1.590m Homecare funding £ 0.157m</li> <li><u>£ 1.900m</u> saving</li> </ul>	
Impact upon service	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. 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. 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.	
Actions needed to deliver the target savings	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	

## 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 or services cover a broad spectrum of stakeholders including Public Bodies, Social Care service users, private individuals and companies which trade with the County Council.

Section 4

# Equality Analysis Toolkit

Increase in Administration Fees/Charg for Deferred Payment Agreements For Decision Making Items

September 2017



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## What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting

Jeanette Binns (Equality and Cohesion Manager) at

Jeanette.binns@lancashire.gov.uk

## Name/Nature of the Decision

Approval is being sought to increase the Administration Charge for Deferred Payment Agreements

#### What in summary is the proposal being considered?

Following the introduction of the Care Act 2014 and its requirement for Local Authorities to implement a Deferred Payment Scheme (DPS) which is intended to be run on a cost-neutral basis, this was introduced by Lancashire in April 2015. The DPS policy states the Council will set its administration charge at a level which does not exceed the actual costs incurred in provision of the DPS, as set out in the Care Act regulations. The authority set its administration charge as a one-off fee of £500. This charge no longer covers the actual costs in providing this service.

We are considering three administration charges which are over and above the interest rate charged on the deferred amount:

- 1. One off Arrangement Fee for setting up the DPA (Set up Fee).
- Annual Charge covering Care Act 2014 requirements, Bi Annual Statements, Equity monitoring, notification of changes in gross cost of placement, increase and decrease of interest rates (Set on 1 January and 1 July).
- 3. One Off Termination Fee

The Administration Fees will cover:

- registering a legal charge with the Land Registry against the title of the property, including Land Registry search charges and any identity checks required
- undertaking relevant postage, printing and telecommunications
- costs of time spent by those providing the service
- cost of valuation and re-valuation of the property
- costs for removal of charges against property
- overheads, including where appropriate (shares of) payroll, audit, management costs, legal service

The Cabinet will be asked to approve the Increase in Administration Fees.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

The increase in administration charge will affect any person or their representative who applies for a Deferred Payment or already has a Deferred Payment Agreement under the scheme across the County and does not relate to any separately identified specific geographical areas within Lancashire. Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

The Department of Health produced an impact assessment on the Care Act regulations covering the provisions that gave local authorities a duty to offer deferred payments incorporating an equality impact assessment. This concluded that DPA's benefit people in residential care and their families by improved well-being through a reduction in stress and anxiety for those who go into residential care as they will not have to sell their home, wider peace of mind benefits for anyone who may be at risk of having to sell their home in the future and financial protection for home owners.

The population using care is almost exclusively disabled (physically or mentally) and is predominantly female and aged 75+.

DPA's predominantly benefit homeowners with low income and/or savings, who tend to belong to lower and middle socioeconomic groups.

DPA's do not differentiate on the basis of race, however ethnic minorities are under represented amongst social care users' currently in residential care and because of this may make fewer agreements.

DPA's do not differentiate on the basis of faith, however charging of interest may pose a barrier to faith groups who have objections on religious grounds.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

## **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc. to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

DPA's are subject to an eligibility criteria, notably whether someone needs residential care and whether they have limited liquid assets. Beyond this, DPS does not actively discriminate on the basis of equalities characteristics such as age, gender, sexual orientation, or belief.

Currently we have 113 DPA's of which there are 98 Females and 15 Males of which 35 have dementia, 68 are physically frail, 2 have a mental illness and 8 have a physical disability.

It is noted that the payment of interest and charges on DPA's may present a barrier to Muslim care users. This is because of the tenets of Sharia (Islamic) law, which prohibit the payment of interest.

## **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when.

(Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

The Department of Health conducted an engagement exercise over Autumn 2011 with care users and members of the care and support sector on reform of social care, encompassed discussion of proposals of the universal DPA.

The engagement found support for DPA's; a workshop on funding reform involving representatives from local authorities and disabilities groups noted that DPA's would give people additional choices and flexibility in meeting their care costs and there was strong support for them.

A user consultation will be undertaken as proposals are put forward for decision making.

## Question 3 – Analysing Impact

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways?

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

There are two areas where those with protected characteristics may potentially be disadvantaged as follows:

1 – The payment of interest and charges on DPA's may present a barrier to Muslim care users. This is because of the tenets of Sharia (Islamic) Law, which prohibit the payment of interest.

2 – Where a person lacks capacity to request a DPA, a Deputy or Attorney (a person with a relevant Enduring Power of Attorney or Lasting Power of Attorney) may request a DPA on their behalf.

If a family member requests a DPA and they do not have the legal power to act on behalf of the person, then the person and the family member are given information and advice on how to obtain this.

The Council must not enter into a DPA with a person lacking the requisite mental capacity unless the proper arrangements are in place.

Results of the consultation will be taken into account.

## **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

At a national level, any changes in current guidance and legislation around Deferred Payment Schemes could impact on individuals covered by this policy.

## **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how -

For example:

Adjusted the original proposal – briefly outline the adjustments

Continuing with the Original Proposal – briefly explain why

Stopped the Proposal and Revised it - briefly explain

The proposal has not been changed to reflect the two areas identified at question 3, as it may create greater inequity to create separate provisions for these two groups to counteract the impact of the charges on them; i.e.

- 1) Not charging interest on the basis of faith
- 2) Not allowing choice on the basis of mental capacity.

## **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

The DOH during its legislative passage of the Care Act 2014 added Section 36 to all DPA to be offered in a manner that would make them compliant with Sharia Law. There were mixed views in response to the consultation as to whether it was necessary to enact this or and as such it was decided not to enact if for 2015. The DOH intends to engage further with the Muslim community to understand whether there would be a demand for a Sharia-compliant scheme, and if so what would be required of it.

Feedback/ideas from the consultation will be considered.

## **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The proposal recommended is compliant with the regulations and Guidance supporting the provisions of the Care Act 2014 and is applied in a manner which does not aim to discriminate against those with protected characteristics.

This proposal has been arrived at following the requirement to identify budget savings. Given the current financial position of the authority, which will have an estimated funding gap by 2021/22 of £167.132m, there is a requirement to either reduce the cost of services, or increase income. This proposal generates additional income and is not expected to have a negative impact on front line service delivery.

The need for budget savings strengthens the requirement for the Lancashire Deferred Payment Scheme to run on a cost neutral basis.

## Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

Approval is being sought to increase the Administration Charge for Deferred Payment Agreements.

DPA's are subject to an eligibility criteria, notably whether someone needs residential care and whether they have limited liquid assets. Beyond this, DPS does not actively discriminate on the basis of equalities characteristics such as age, gender, sexual orientation, or belief.

Currently we have 113 DPA's of which there are 98 Females and 15 Males of which 35 have dementia, 68 are physically frail, 2 have a mental illness and 8 have a physical disability.

## **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

The Financial Assessment, Review and Direct Payment Service will monitor any feedback received and use this for future evidence when increasing DPA administration charges.

It will review the cost of delivering the service based on the administration charge set to ensure where possible it is run as cost neutral service as dictated by Care Act 2014.

Equality Analysis Prepared By Karen Jones

Position/Role Financial Assessment, Review and Direct Payment Service Manager

Equality Analysis Endorsed by Line Manager and/or Service Head: Jackie Mould/Derek Jackson

Decision Signed Off By

Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact

Jeanette Binns - Equality & Cohesion Manager

Jeanette.binns@lancashire.gov.uk

Thank you

## Section 4

# Equality

# Analysis Toolkit

## **Charging for Appointeeship Services**

## **For Decision Making Items**

September 2017



www.lancashire.gov.uk

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## What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting

Jeanette Binns (Equality and Cohesion Manager) at

Jeanette.binns@lancashire.gov.uk

## Name/Nature of the Decision

Charging for Apppointeeship services

#### What in summary is the proposal being considered?

To seek approval to the introduction of fees for the provision of Appointeeship Services. The local authority currently manages 143 active corporate appointeeships and is in the process of administering accounts for 12 deceased service users; there is currently no charge for this service and it is proposed to introduce a weekly charge of between £6.50 and £8. The charge ensures that service users benefitting from a discretionary service make a contributions towards the administrative cost being incurred directly on their behalf.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

No

## Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Yes - all affected individuals will by definition be unable to manage their own financial affairs by reason of mental incapacity and therefore are likely to be included in the disability protected characteristics.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

## **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

All affected individuals will by definition be unable to manage their own financial affairs by reason of mental incapacity and therefore are likely to be included in the disability protected characteristics.

## **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when.

(Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

It is proposed to embark on a consultation within a targeted group, those already in receipt of appointeeship services, their carers/support workers, advocacy and peer groups,

## Question 3 – Analysing Impact

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be

- will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

The proposal to charge for the Appointeeship Service may have an effect on service users with low income and level of savings.

Providing an Appointeeship Service to vulnerable adults encourages service users to actively participate in public and social life and contributes to their wellbeing. Monies are managed in their best interest with regard to the Mental Capacity Act and also provides a safeguard for those who may have previously financially abused.

This will be added to after the EIA consultation is concluded.

## **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

At a national level, any changes in benefit levels, ie change of DLA to PIP, introduction of Universal Credit, or eligibility for benefits criteria could also impact on individuals covered by this policy.

The Non Residential Charging Policy is also under review, and likely increases would impact on any services users also accessing the Appointee and Deputyship Service

## **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments

Continuing with the Original Proposal – briefly explain why

Stopped the Proposal and Revised it - briefly explain

This will be reviewed following the consultation.

## **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

It is proposed to put an appeal process in place for those service users on low income and low level of savings. There will also be further consideration after the consultation.

## **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

To ensure that the cost associated with providing an Appointee Service is partially offset.

The proposals in this Policy have been arrived at following the requirement to identify budget savings. Given the current financial position of the authority, which will have an estimated funding gap by 2021/22 of £167.132m, there is a requirement to either reduce the cost of services, or increase income. This policy proposal generates additional income and is not expected to have a negative impact on front line service delivery.

## Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

Approval is sought to introduce a weekly fee of between £6.50 and £8 from 1 April 2018 for providing an Appointeeship Service to eligible service users. The weekly charge will be finalised subject to further work on costs, consideration of charges made by other local authorities for this service and consideration of the impact on the client base.

All affected individuals will be by definition be unable to manage their own financial affairs by reason of mental incapacity and therefore are likely to be included in the disability protected characteristics.

### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

12 monthly review parallel to the annual increase of person's benefits.

Equality Analysis Prepared By Annette Roberts

Position/Role Appointee & Deputyship Manager

Equality Analysis Endorsed by Line Manager and/or Service Head

Decision Signed Off By

Cabinet Member or Director

## Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

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For further information please contact

Jeanette Binns – Equality & Cohesion Manager

Jeanette.binns@lancashire.gov.uk

Thank you

## CMTY011 - HIGHWAY LINES AND SIGNS RENEWAL

Service Name: Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21 Gross budget 2017/18		Highways – Lines and Signs 2018/19		
				£1.
		Income 2017/18	Income 2017/18	
Net budget 2017/18		£1.000m		
Savings Target and I	Profiling (discrete yea	ar):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.500	0.000	0.000	-0.500	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
Decisions needed to deliver the budgeted savings	and replacement will be renewed of Safety critical we renewal of solid junction give we carriageway mark and school zig z maintained to me standards. Warni there is evidence	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. 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.		
Impact upon service	<ul> <li>Minor reduction (no FTE reductions) in sign show workload. Increase in third party claims and requests for and complaints about non-critical works.</li> <li>A lower standard of service (less reflective/faded signand markings) could increase the risk of collisions. Less use of contractors. Reduced sign clutter.</li> </ul>			

Actions needed to deliver the target savings	Clear guidance to highway staff to limit spend to safety critical or enforcement works only.		
	Service reduction proposal to form part of budget consultation.		

#### 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.

## Section 4

## Equality

## Analysis Toolkit

## Lines and Signs Maintenance For Decision Making Items

September 2017



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## What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting

Jeanette Binns (Equality and Cohesion Manager) at

Jeanette.binns@lancashire.gov.uk

### Name/Nature of the Decision

The reduction of the signs and lines maintenance budget

#### What in summary is the proposal being considered?

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.

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

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

The reduction in the budget will have an effect countywide on lining and signing maintenance although this will have a low impact.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified. This could possibly have a very low impact on Children and young people either as pedestrians or as inexperienced drivers. This could also have an effect on the elderly for example where lines may be faded and not seen due to impaired eye sight.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

## **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

Possibly have a very low impact on Children and young people either as pedestrians or as inexperienced drivers. This could also have an effect on the elderly for example where lines may be faded and not seen due to impaired eye sight.

## **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when.

(Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

Briefing of this saving has been given to the cabinet member for highways. Due to this being a slight reduction in service delivery wider consultation is not felt to be proportionate. However any issues raised with regards to this reduction via complaints report it etc. would be investigated and appropriate action taken.

## **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and 108

specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

It is not anticipated that this proposal would have a significant adverse impact on any protected characteristics groups or on the elements identified above.

## Question 4 –Combined/Cumulative Effect

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

N/A

## Question 5 – Identifying Initial Results of Your Analysis

As a result of your analysis have you changed/amended your original proposal?

Please identify how -

For example:

Adjusted the original proposal – briefly outline the adjustments

Continuing with the Original Proposal – briefly explain why

Stopped the Proposal and Revised it - briefly explain

There has been no change to the original proposal.

## **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

As all safety critical lines and signs will still be refreshed or replaced there will be no adverse effects. Further mitigation is also being done due to the large surface dressing and surfacing capital programme that is carried out countywide. This means that large areas of carriageway receive a surface treatment and all road marking are renewed.

## **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

Lancashire county council has to make significant savings going forward which this reduction of £0.5m will contribute to without compromising the safety of the network.

## Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

A £0.5m reduction in the lines and signs maintenance budget. This will lead to the reduction in refreshing of road markings and replacement of traffic signs and only safety critical will be renewed or where enforcement is required.

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.

Possibly have a very low impact on Children and young people either as pedestrians or as inexperienced drivers. This could also have an effect on the elderly for example where lines may be faded and not seen due to impaired eye sight.

## **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

The use of feedback from complaints, report it, customer contact centre and highway officers in relation to road markings and signs will be used to monitor this reduction from 2018/19

Equality Analysis Prepared By Phil Durnell

Position/Role HOS Highways

Equality Analysis Endorsed by Line Manager and/or Service Head

Decision Signed Off By

Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact

Jeanette Binns - Equality & Cohesion Manager

Jeanette.binns@lancashire.gov.uk

Thank you

## ASC052 – OLDER PERSONS IN-HOUSE RESIDENTIAL SERVICES - SELF FUNDER FEES

Service Name: Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		Adults Older People - In-House Residential Care Homes for Older People		
		20	2018/19	
Gross budget 2017/1	8	I	N/A	
Income 2017/18		£4.	£4.476m	
Net budget 2017/18	Net budget 2017/18		N/A	
Savings Target and	Profiling (discrete ye	ar):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.237	-0.238	-0.280	-0.755	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
Decisions needed to deliver the budgeted savings	operated residen fees at the curren normal yearly inc uplifts. Agree that all new the new rate. It is over a three year their stay. Agree to the indic	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. 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		

		Older People	Dementia	
	Current Rate	£489.76	£525.38	
	for LCC funded		2020100	
	residents in			
	LCC homes			
	Current Self-	£518.00	£549.85	
	funder rate in			
	LCC Homes			
	Approx	£640.00	£670.00	
	Proposed Self-			
	funded rate in			
	LCC Homes			
Impact upon service	<ul> <li>LCC meet the costs of approx. 45% of older people residential and nursing care home. However about 450 of individuals (or their families) pay the full cost for the care homes places directly to the provider – these peop are generally known as 'Self Funders'.</li> <li>Income is also generated via people assessed as able if pay part of the cost of their care and other funding bodie such as the NHS and other LA's; also pay for the services. The financial sustainability of service therefore depends on the overall balance between income from these sources and the costs of running the services.</li> <li>This is the same position for the County Council's own 1 residential services for older people with about 30% of i residents 'self-funding'.</li> <li>Within LCC Older peoples services increases for selfunding 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 if full cost paying service users within our own residential homes.</li> <li>So if this proposal is adopted older people who an admitted from April 2018 and self-fund their places LCC operated care homes will face increased fee level which will better reflect the 'market rate'.</li> </ul>			to es he es he en he 17
				of he to
				in
Actions needed to deliver the target	-	rates April 2018 ers for homes etc	change letters ar	nd
savings	<ul> <li>At January each year decide on percentage rise for old rate and new rate for self funders.</li> </ul>			
			l each subsequen	t

#### 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.

## Section 4

# Equality

## Analysis Toolkit

## Older People Increase New Self-funder For Decision Making Items

September 2017



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## What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting

Jeanette Binns (Equality and Cohesion Manager) at

Jeanette.binns@lancashire.gov.uk

### Name/Nature of the Decision

Budget proposal – to raise additional income by raising fees for Self-funders who are admitted into LCC operated care homes for older people

#### What in summary is the proposal being considered?

Local Authority fees represent just one element of the residential and nursing care home funding source. Income is also generated via people assessed as able to pay the full cost of their care and from other funding bodies such as the NHS and other LA's; sustainability of services therefore depends on the overall budget position achieved from this mix of funding sources.

At present Older People Residential services provide about 30% of their placements (circa 230 beds) to self-funders ie people who meet the full cost of the fees themselves.

Independent sector providers typically charge a higher fee for their self- funded placements compared to those the Council commission on behalf of individuals. The Council already charges self-funders in its own homes an increased fee over that which it pays for its own commissioned placements, current fees are as follows:

	Older People	Dementia
LCC Rate	£489.75	£525.38
Self- funder rate	£518.00	£549.85

It is proposed that self-funded residents are charged an additional £100 per week (plus standard inflationary increases) to the existing self- funded rate which will bring the rate to a similar position of other providers.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

This decision will affect potential older people who need residential care and wish to consider the county council's own care homes for their placements either for reasons of quality, ownership or location

## Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality

- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

#### Yes.

Residents in residential homes are generally Older People (over 65) and will typically have additional disabilities including Dementia.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

## Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

The people affected by this decision are future service users of the Older Peoples service's residential homes who have assets above the threshold for local authority support.

Presently approximately 30% of our residential clients are 'self-funding'. (Approximately 225 service users).

Residents in residential homes are almost always Older People (over 65) and many have other disabilities including Dementia.

## **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when.

(Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

No direct consultation has taken place here in Lancashire in respect of this proposal.

However national research and local market intelligence suggests that the higher rates paid by self-funders for residential care compared to those funded by Councils is a well-known pricing pattern and is often a source of concern to individuals and families. For a given level of quality and quality resource, individuals would prefer

to pay a rate which is reasonable and affordable, and self-funders understandably see the local authority rates that are paid as a starting point for their own understanding.

Further consultation will be considered if appropriate.

## Question 3 – Analysing Impact

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

Older people who are assessed to pay for their social care have savings or property in excess of £23,250.

The amount of money service users have in excess may be utilised quicker, however this would be no different than if they resided in a home from the independent sector.

Self- funders may run out of funds at a quicker pace and would need LA funding sooner. This again, would be no different than in the independent sector.

Analysis has been made on the market and feedback suggests that for Older People residential care the proposed rate will be at the current average market rate. For Dementia residential care the proposed rate will be approximately 10% under the market average.

It is believed that this proposal does not discriminate unlawfully against individuals with protected characteristics.

## Question 4 –Combined/Cumulative Effect

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

As referenced earlier the financial challenges families and individuals facing in paying for social care are significant.

Government is aware of these challenges and concerns and may address them at a future point via legislation. Meanwhile Councils have to work within the existing legal, policy and financial framework surrounding adult social care. This proposal fits within these frameworks

## **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments

Continuing with the Original Proposal – briefly explain why

Stopped the Proposal and Revised it - briefly explain

The proposal remains as it stands.

#### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

To mitigate the impact of this proposal existing self- funding service users in Lancashire operated care homes will not be affected by this increase in fee.

New self-funders from April 2018 can continue to choose their own placements and are under no obligation to consider an LCC care home if they can find a satisfactory independent placement at lower cost

## **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The proposal is necessary to help enable the County council to achieve savings targets and contribute towards balancing its own budget.

By reducing our costs/increasing income we are better placed to safeguard front line delivery to residents in Lancashire.

The increase in self-funding fee will align our services with the market average.

The amount of money service users have in excess of the social care funding threshold may be utilised quicker, however this would be no different had they moved into a home in the independent sector.

Self- funders may run out of funds at a quicker pace and would need LA funding sooner.

## Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

It is proposed that self-funded residents are charged an additional £100 per week (plus standard inflationary increases) to the existing self- funded rate which will bring the rate to a similar position of other providers.

## **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

We will monitor the proportion of self-funders admitted to LCC run care homes to see if this change reduces the numbers seeking and accepting placements

Position/Role Business Development and Operations Manager Equality Analysis Endorsed by Line Manager and/or Service Head Decision Signed Off By Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk Thank you

## PH011 – SEXUAL HEALTH

Service Name:		Sexual Health Services		
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		2018/19		
Gross budget 2018/1	Gross budget 2018/19		£8.339m	
Income 2018/19		£0.000m		
Net budget 2018/19		£8.339m		
Savings Target and	Profiling (discrete ye	ar):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.500	0.000	0.000	-0.500	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
Decisions needed to deliver the budgeted savings Impact upon service	<ul> <li>sexual health buc recently on a tarif</li> <li>No major impact</li> </ul>	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. No major impact on access or quality of the service is		
Actions needed to	activity levels and accordingly.	<ul> <li>anticipated. The service will continue to monitor the activity levels and manage the financial risks accordingly.</li> <li>No actions are required to implement this proposal.</li> </ul>		
deliver the target savings				

#### 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

## Section 4

## Equality

## Analysis Toolkit

## Integrated Sexual Health Services For Decision Making Items

September 2017



www.lancashire.gov.uk

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## What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting

Jeanette Binns (Equality and Cohesion Manager) at

Jeanette.binns@lancashire.gov.uk

## Name/Nature of the Decision

Integrated Sexual Health Services in Lancashire. It is proposed to reduce the budget by  $\pounds$ 500,000 from  $\pounds$ 8,339,000 to  $\pounds$ 7,839,000. This reduction will bring the budget in line with the outturn budget for 2016/17.

## What in summary is the proposal being considered?

The aim of the Integrated Sexual Health Service is to:

To meet the mandate to deliver a comprehensive open access sexual health service

Implement an integrated sexual health service model aims to improve sexual health by providing easy access to services through open access 'one stop shops', where the majority of sexual health and contraceptive needs can be met at one site, usually by one health professional, in services with extended opening hours and accessible locations.

The service will support delivery against the three main sexual health Public Health Outcome Framework measures:

- Under 18 conceptions
- Chlamydia diagnoses (15-24 year olds)
- People presenting with HIV at a late stage of infection

The Integrated Sexual Health service will be commissioned to provide open access, cost-effective, high quality provision for contraception and prevention, diagnosis and management of sexually transmitted infections, according to evidence-based protocols and adapted to the needs of local population. The service will be characterised by being provided on an open access basis and available to anyone requiring care, irrespective of their age, place of residence or GP registration, without referral to provide services to women and men of any age.

It will deliver the following outcomes to improve the sexual health in the local population as a whole:

- Clear accessible and up to date information about services providing contraception and sexual health for the whole population including information targeted at those at highest risk of sexual ill health
- Improved access to services among those at highest risk of sexual ill health
- Reduced sexual health inequalities amongst young people and young adults
- Reduced sexual health inequalities amongst BME groups
- Increased uptake of effective methods of contraception, including rapid access to the full range of contraceptive methods including LARC (Long Acting Reversible Contraceptive) for all age groups
- A reduction in unwanted pregnancies in all ages as evidenced by teenage

conception and abortion rates

- Increased diagnosis and effective management of sexually transmitted infections
- Increased uptake of HIV testing with particular emphasis on first time service users and repeat testing of those that remain at risk
- Increased development of evidence-based practice

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

Nationally and according to the mandate all sexual health services are open access that means the services in Lancashire are for the benefit of all Lancashire residents, but also all those that access the services in Lancashire that do not reside in Lancashire.

## Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

In common with the national picture sexual health services are primarily accessed by women. Additionally, the population primarily accessing services define themselves as white British, even where the diversity in the population includes a large percentage of those defined as South Asian. In addition to high quality sexual and reproductive health services that will be commissioned women of all ages, services will be required to target services to reduce teenage pregnancy as part of the Public Health Outcomes Framework. Teenage pregnancy is a significant public health issue in England and is associated with poor antenatal health, lower birth weight babies and higher infant mortality rates.

All sexual health services are available to all irrespective of their religion or belief system. The Integrated Sexual Health service based on allowing people to make informed decisions about their own sexual health, and these decisions may or may not be influenced by their religion or beliefs. The religion or beliefs of an individual or their community can have an impact on the service user's choice of contraception method, as well as on their ability to access contraceptive services. The factsheet Religion, contraception and abortion, developed by Family Planning Association aims to reflect the predominant attitudes to contraception of the main religious groups in the UK.

http://www.fpa.org.uk/sites/default/files/religion-contraception-and-abortionfactsheet.pdf

Given the sensitive nature of the information, it is considered inappropriate to collect data – either from diagnoses in a GUM clinic or under the NCSP – on an individual's religion or belief. There is, therefore, limited data available to analyse (Department of Health, 2010)

All sexual health services are available to all irrespective of their sex. All the currently available methods of contraception (with the exception of natural family planning, the male condom and male sterilisation) are primarily used by women. However, patient choice is paramount, and both men and women who request contraceptives should be given information about all methods, including long-acting reversible contraceptives (LARCs).

All sexual health services are available to all irrespective of their sexual orientation; however certain groups will require specific targeted interventions. Compared with the general population, MSM have worse sexual health including HIV and sexually transmitted infections (STIs). There is a strong body of evidence indicating that the estimated 850,000 MSM in the UK are at a greater risk of suffering from poorer sexual health outcomes in comparison to other groups. In particular: • HIV in MSM: MSM are the most at-risk group for acquiring HIV in the UK, accounting for 51% of all new cases in 2012.

There is a 6-fold difference in teenage conception and birth rates between the poorest areas in England and the most affluent. There is a clear link between

sexual ill-health, deprivation and social exclusion; unintended pregnancies can have a long-term impact on people's lives (NICE guidelines PH51, 2014). https://www.nice.org.uk/guidance/ph51/chapter/2-public-health-need-and-practice

Under 18 conceptions can lead to socioeconomic deprivation, mental health difficulties and lower levels of educational attainment. In addition, resulting children are at greater risk of low educational attainment, emotional and behavioural problems, maltreatment or harm, and illness, accidents and injuries (Department for Children, Schools and Families 2008).

All sexual health services are available to all irrespective of their race; however certain racial groups will require specific targeted interventions. Black Africans living in England are disproportionately affected by HIV. A third of new HIV diagnoses in the UK are among this group, which makes up only approximately 1% of the UK population. (Health Protection Agency, 2010). It is estimated that a total 4% of black Africans living in England have been diagnosed with HIV, compared with 0.1% of the white population (Health Protection Agency: personal communication 2010).

The NICE guidance on long-acting reversible contraception (2005) states that:

- Women with learning and/or physical disabilities should be supported in making their own decisions about contraception
- When a woman with a learning disability is unable to understand and take responsibility for decisions about contraception, carers and other involved parties should meet to address issues around the woman's contraceptive need and to establish a care plan
- Healthcare professionals should have access to advocates for women with sensory impairments or learning disabilities.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

#### Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

In common with the national picture sexual health services are primarily accessed by women. Additionally, the population primarily accessing services define themselves as white British, even where the diversity in the population includes a large percentage of those defined as South Asian.

In addition to high quality sexual and reproductive health services that will be commissioned women of all ages, services will be required to target services to reduce teenage pregnancy as part of the Public Health Outcomes Framework. Teenage pregnancy is a significant public health issue in England and is associated with poor antenatal health, lower birth weight babies and higher infant mortality rates.

All sexual health services are available to all irrespective of their religion or belief system. The Integrated Sexual Health service based on allowing people to make informed decisions about their own sexual health, and these decisions may or may not be influenced by their religion or beliefs. The religion or beliefs of an individual or their community can have an impact on the service user's choice of contraception method, as well as on their ability to access contraceptive services. The factsheet Religion, contraception and abortion, developed by Family Planning Association aims to reflect the predominant attitudes to contraception of the main religious groups in the UK.

http://www.fpa.org.uk/sites/default/files/religion-contraception-and-abortionfactsheet.pdf

Given the sensitive nature of the information, it is considered inappropriate to collect data – either from diagnoses in a GUM clinic or under the NCSP – on an individual's religion or belief. There is, therefore, limited data available to analyse (Department of Health, 2010)

All sexual health services are available to all irrespective of their sex. All the currently available methods of contraception (with the exception of natural family planning, the male condom and male sterilisation) are primarily used by women. However, patient choice is paramount, and both men and women who request contraceptives should be given information about all methods, including long-acting reversible contraceptives (LARCs).

All sexual health services are available to all irrespective of their sexual orientation; however certain groups will require specific targeted interventions. Compared with the general population, MSM have worse sexual health including HIV and sexually transmitted infections (STIs). There is a strong body of evidence indicating that the estimated 850,000 MSM in the UK are at a greater risk of suffering from poorer sexual health outcomes in comparison to other groups. In particular: • HIV in MSM: MSM are the most at-risk group for acquiring HIV in the UK, accounting for 51% of all new cases in 2012.

There is a 6-fold difference in teenage conception and birth rates between the poorest areas in England and the most affluent. There is a clear link between sexual ill-health, deprivation and social exclusion; unintended pregnancies can have a long-term impact on people's lives (NICE guidelines PH51, 2014). https://www.nice.org.uk/guidance/ph51/chapter/2-public-health-need-and-practice

Under 18 conceptions can lead to socioeconomic deprivation, mental health difficulties and lower levels of educational attainment. In addition, resulting children are at greater risk of low educational attainment, emotional and behavioural problems, maltreatment or harm, and illness, accidents and injuries (Department for Children, Schools and Families 2008).

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- When a woman with a learning disability is unable to understand and take responsibility for decisions about contraception, carers and other involved parties should meet to address issues around the woman's contraceptive need and to establish a care plan
- Healthcare professionals should have access to advocates for women with sensory impairments or learning disabilities.

#### Question 2 – Engagement/Consultation

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when.

(Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

In the development of the new service model, we have engaged with more than 120 young people across Lancashire, from different backgrounds, differing orientation and different religions and beliefs

We have also engaged with a number of adult groups that are evidenced to have poor sexual health, such as men who have sex with men and disability groups.

In drawing up the initial proposal we have also used:

Young Peoples Report

Adult Engagement report

Health Needs Assessment

The specification has been reviewed by the following;

3 separate independent HIV/GUM Consultants

LCC Safeguarding teams- Adult and Young People

Medicines Management

The contract has been reviewed and additional clauses included specifically around governance, patient records and reporting incidents.

#### Question 3 – Analysing Impact

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

An integrated sexual health service model aims to improve sexual health by providing easy access to services through open access 'one stop shops', where the majority of sexual health and contraceptive needs can be met at one site, usually by one health professional, in services with extended opening hours and accessible locations.

The provision of integrated sexual health services is supported by current accredited training programmes and guidance from relevant professional bodies including Faculty of Sexual and Reproductive Healthcare (FSRH), British Association for Sexual Health and HIV (BASHH), British HIV Association (BHIVA), Medical Foundation for HIV & Sexual Health (MEDFASH), Royal College of Obstetricians and Gynaecologists (RCOG) and National Institute for Health and Care Excellence (NICE) and relevant national policy and guidance issued by the Department of Health and Public Health England.

Providers will be required to demonstrate their ability to ensure equitable access to

services and a commitment to reducing the inequalities faced by residents and vulnerable groups.

The needs assessment has demonstrated the inequalities faced by certain groups which have in turn informed the specification for the commissioning of the services to provide universal services as well as specific services to mitigate and address inequalities faced by residents.

The service will provide some target outreach activities to ensure the population accessing the services are reflective of the population it serves

We will undertake annual equity audits to check that services reach those

Lancashire is a large geography and the providers will ensure there are satellite services across Lancashire.

The inclusion of Public Health principles into the contract to include social value, asset building and the 5 ways to wellbeing.

#### Question 4 – Combined/Cumulative Effect

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

The responsibility for commissioning HIV treatment and care is held by NHS England and they have advised LCC that they are not able to procure in collaboration. There is a potential impact that services for those living with HIV will be affected.

We are working in partnership encouraging co-location of services, to encourage a more holistic approach to health.

The contract contains links to LCC safeguarding policies and also will include provider corporate policies.

Tender evaluation/scoring matrix will take into account how a provider aims to meet requirements around equality

#### **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

September 2017: Proposal to reduce the sexual health budget by £500,000

Proposal to cabinet to reduce the sexual health budget for 2017/2018 by £500,000 from £8,339,000 to £7,839,000. This reduction will bring the 2017/18 budget in line with the outturn budget for 2016/17.

The new commission and the introduction of the tariff system has resulted in savings to the budget particularly for the under 25's service. The initial budget was  $\pounds 3,000,000$  for the under 25's service, however the spend in 16/17 was  $\pounds 1,400,000$  based on activity. This reduction in spend was partly due to two factors, firstly the need to train the staff team in order that they could deliver the new integrated offer resulted in less than anticipated activity and kept the price down. Secondly only two of the required 'hubs' where in place during the year.

#### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

In mitigation we have encompassed the need to secure/ maintain care for those living with HIV into the procurement processes.

Potential providers will be requested to demonstrate how they will collect and report data on groups with protected characteristics in the invitation to Tender stage of the procurement process

Potential providers will be requested to demonstrate how they will target groups with protected characteristics and address the identified needs highlighted by the needs assessment and current research & analysis in the invitation to Tender stage of the procurement process

A separate specification for services targeting young people will be included in the tender process

#### **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal -e.g. need for budget savings; damaging effects of not taking forward the proposal at this time - against the findings of your analysis. Please describe this assessment. It is important here to

ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

This proposal has arisen as a result of the difficult financial position affecting the County Council which requires savings to be considered.

This revised September 2017: Proposal to reduce the sexual health budget by £500,000

Proposal to cabinet to reduce the sexual health budget for 2017/2018 by £500,000 from £8,339,000 to £7,839,000. This reduction will bring the 2017/18 budget in line with the outturn budget for 2016/17.

The new commission and the introduction of the tariff system has resulted in savings to the budget particularly for the under 25's service. The initial budget was £3,000,000 for the under 25's service, however the spend in 16/17 was £1,400,000 based on activity. This reduction in spend was partly due to two factors, firstly the need to train the staff team in order that they could deliver the new integrated offer resulted in less than anticipated activity and kept the price down. Secondly only two of the required 'hubs' where in place during the year.

Financial Risks - Staff training is now complete in the under 25's service. The service is now able to fully provide the new integrated offer; additionally the third Hub came online towards the end of the first quarter of the 2017/18 financial year. Both these factors may increase activity and result in cost pressures to the budget. Some of these risks may be mediated by a shortage of suitably qualified staff across the specialty. This shortage poses a challenge to recruitment and may act to help keep cost pressures down.

It is hoped that the mitigation identified will offset any potential adverse impacts on protected characteristics groups.

#### **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how?

Integrated Sexual Health Services in Lancashire. It is proposed to reduce the budget by  $\pounds$ 500,000 from  $\pounds$ 8,339,000 to  $\pounds$ 7,839,000. This reduction will bring the budget in line with the outturn budget for 2016/17.

#### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

The service providers are required to monitor age, ethnicity, disability and gender and for some elements religion or belief. We are not currently monitoring on the following: sexual orientation, marriage/civil partnership, gender reassignment/gender identity. The aim during the redesign and procurement of these services has been include the requirement to report on protected characteristics as part of the monitoring and also to undertake equality audits annually.

Given the sensitive nature of the information, it is considered inappropriate to collect data – either from diagnoses in a GUM clinic or under the NCSP – on an individual's religion or belief. There is, therefore, limited data available to analyse (Department of Health, 2010)

The contract will be subject to formal review on a quarterly basis and an annual appraisal to ensure compliance to the agreement and also to introduce new commissioning intentions. The quarterly review meetings will have a standing agenda item around incidents, complaints and compliments.

The service provider will as part of the contractual obligations will;

- provide information on complaints and compliments
- comply with the incidents reporting policy
- Comply with the safeguarding policy
- Provide opportunities to receive and share user satisfaction and feedback
- Provide action plans in response to any complaints
- Ensure all policies and functions are Equality Impact Assessed .

Equality Analysis Prepared By Lee Harrington

Position/Role: Senior Public Health Practitioner – Behaviour Change

Equality Analysis Endorsed by Line Manager and/or Service Head Chris Lee, Public Health Specialist – Behaviour Change

Decision Signed Off By

Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact

Jeanette Binns – Equality & Cohesion Manager

Jeanette.binns@lancashire.gov.uk

Thank you

# Money Matters -Additional Savings 2018/19 – 2020/21 Cabinet – November 2017



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# CORP001 - VACANCY FACTOR

Service Name:			LCC Wide –	Staffing Budgets		
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21			20	2018/19		
Gross budget 2017	/18		£31	9.042m		
Income 2017/18				N/A		
Net budget 2017/18	3		£31	9.042m		
Savings Target and	d Pro	filing (discrete	year):			
2018/19		2019/20	2020/21	Total		
£m		£m	£m	£m		
-6.381		0.000	0.000	-6.381		
FTE implications:						
2018/19		2019/20	2020/21	Total		
0.00		0.00	0.00	0.000		
Decisions needed to deliver the budgeted savings		Agree to apply of the County (		to the staffing budget		
Impact upon service		This decision may impact on some service capacity, however the current position in 2017/18 is a forecast underspend on staff budgets of c£5m with services continuing to deliver services. A review of those services for which a vacancy factor may not be appropriate will need to be undertaken.				
Actions needed to deliver the target savings			out forward and aut	ew how recruitment norised if a vacancy		

Regularly monitor the vacancy position across the County Council and regularly review the budget monitoring position of staffing budgets.

# Money Matters -Additional Savings 2018/19 – 2020/21 (including Equality Impact Assessments) December 2017



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## LD0013 – MEMBER GRANTS

Service Name:		Member Grants			
Which 'start year' do relate to 2018/19, 20 <sup>4</sup>	•	20	2018/19		
Gross budget 2017/1	8	f(	).252m		
Income 2017/18	•		).000m		
Net budget 2017/18		£C	).252m		
Savings Target and	Profiling (discrete y	ear):			
2018/19	2019/20	2020/21	Total		
£m	£m	£m	£m		
-0.252	0.000	0.000	-0.252		
FTE implications:					
2018/19	2019/20	2020/21	Total		
0.00	0.00	0.00	0.00		
deliver the budgeted savings Impact upon service	Impact assessing given that the organisations and However, some	Impact assessments would not specifically be required given that the grants scheme supports external organisations and are not delivering essential services. However, some assessment may be needed of the impact on strategic/corporate priorities.			
Actions needed to deliver the target savings	the close of thi offered in 2018/	The scheme operates on an annual basis. It will cease at the close of this financial year, and no grants will be offered in 2018/19. Consideration will need to be given to any unspent funding.			
What are the risks associated with this saving and how will they be mitigated	be used for community group groups apply republic perception ability to support	<ul> <li>Most grants are one offs and low value. Grants cannot be used for core funding, so long term impact on community groups is likely to be limited. However, many groups apply regularly, and there could be an impact on public perception. Councillors would also have less ability to support their local communities.</li> <li>Other funding streams remain available for the third sector, both through LCC and other partners.</li> </ul>			

#### What does this service deliver?

The County Council gives each elected member a budget of £3,000 to support local voluntary, community and faith sector (VCFS) groups and/or activities in their electoral division.

Section 4

# Equality Analysis Toolkit

# Local Member Grants For Decision Making Items

August 2017



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# What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decisionmakers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sectorguidance/public-sector-providers/public-sector-equality-duty This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting

Jeanette Binns (Equality and Cohesion Manager) at

Jeanette.binns@lancashire.gov.uk

## Name/Nature of the Decision

To cease Local Member Grants (LMGs)

### What in summary is the proposal being considered?

That the Local Member Grant scheme ceases from 2018/19. The scheme provides each county councillor with £3000 to spend on local community groups.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

As the grants are given to each County Councillor to determine, they are evenly spread across the county.

# Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above –

e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Nc	C				

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

A number of the grants are provided to groups and organisations that work with people with protected characteristics. No analysis is conducted to report on the nature of groups funded through LMGs, so it is not necessarily the case that such groups will be disproportionately impacted. However, given the fairly wide impact, the EA is being conducted.

There are a large number of grants awarded each year, typically for low values of £250-500 per award. Grants cannot be used for infrastructure or core funding for any group. The impact on any groups will therefore be on specific events or purchases, and the absence of such a grant is unlikely to have a significant impact on the long term work or objectives of any groups applying.

Specifically in relation to religion or belief, whilst faith groups can apply for funding, the rules say it cannot be used it for anything religious or political in character.

# **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific subgroups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

Records are held of all groups who apply. However, no analysis is attempted to break down those groups by any characteristics. Many awards benefit the community as a whole or groups who do not have protected characteristics, whilst others do. It is not the case that any specific group will be affected more than others through this decision.

# **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

None

# **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?

 Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

Impacts will be minor for any recipient. Whilst some organisations apply regularly for LMGs, most funding is for one-off events and purchases. The long term viability of any group will not be affected.

# **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

At present, there are other grant funding streams available, both through the County Council and other organisations locally and nationally, such as district councils, the NHS, etc. As other organisations come under similar funding pressure, they may also review their grant offer. There could be a cumulative effect.

# **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal?

Please identify how -

For example:

Adjusted the original proposal – briefly outline the adjustments

Continuing with the Original Proposal – briefly explain why

Stopped the Proposal and Revised it - briefly explain

No

# **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

Consideration will need to be given to communicating the change, especially to groups who apply regularly, and perhaps signposting to other grant schemes.

There may be alternative sources of funding available elsewhere within Lancashire CC, from District Councils, other statutory organisations or other local or national organisations.

# **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the

assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

Whilst the LMGs are appreciated by organisations who receive them, the LMGs have always been an additional fund, entirely at the discretion of individual County Councillors (acting in accordance with guidance). LMGs are not necessarily aligned with any core priorities or strategic ambitions, other than in general terms to support community organisations. Ceasing LMGs will impact on individual Councillors' ability to support local groups, but not necessarily on the Council's strategic objectives.

# Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

As originally proposed.

# **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Continue to monitor impact on other grant funding streams. Consider Councillor feedback.

Equality Analysis Prepared By Josh Mynott

Position/Role democratic and Member Services Manager

Equality Analysis Endorsed by Line Manager and/or Service Head Paul Bond, Head of Legal and Democratic Services Decision Signed Off By

Cabinet Member or Director

# Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact

Jeanette Binns – Equality & Cohesion Manager

Jeanette.binns@lancashire.gov.uk

Thank you

## **CORP001 – FACILITIES MANAGEMENT**

Service Name:		Facilities	Management		
Which 'start year' d relate to 2018/19, 20	•	20	2018/19		
Gross budget 2017/	18	£12	2.408m		
Income 2017/18			.870m		
Net budget 2017/18		£10	).538m		
Savings Target and	Profiling (discrete y	ear):			
2018/19	2019/20	2020/21	Total		
£m	£m	£m	£m		
-0.400	0.000	0.000	-0.400		
ETE implications:					
FTE implications: 2018/19	2019/20	2020/21	Total		
0.00	0.00	0.00	0.00		
	Agree to reduc	e the opening ho	r of external bodies. urs at County Hall iding staff overtime.		
Impact upon servic					

Actions needed to deliver the target savings	Increase the income budget within Facilities Management from 2018/19.
	Staff will need to be informed of the changes. External users/groups of the County Hall committee rooms in the evenings will need to be informed so that they can find alternative accommodation.
What are the risks associated with this saving and how will they be mitigated	Income levels could be affected if tenants did not renew their tenancy agreement at the end of the agreed period. Ongoing discussions with tenants to ensure the accommodation continues to meet their needs.

#### What does this service deliver?

The Facilities Management Service has responsibility for a wide range of services that ensure the corporate property portfolio is safe, accessible and fit for purpose. The Service is dynamic and adaptable to remain aligned to the corporate strategy and enables continuity of access to services for the citizens of Lancashire, as well as ensuring an accessible and compliant environment for staff and visitors.

#### CMTY004 - DRAINAGE MAINTENANCE

Service Name:		Drainage I	Drainage Maintenance	
Which 'start year' d relate to 2018/19, 20		20	2018/19	
Gross budget 2017	18	£1.	461m	
Income 2017/18		£0.	000m	
Net budget 2017/18		£1.	461m	
Savings Target and	Profiling (discrete ye	ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-1.359	0.000	0.000	-1.359	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
	,	·		
Decisions needed t deliver the budgete savings	1 3 1	se all drainage repai	rs expenditure.	
Impact upon servic	e There will be no	There will be no impact on service delivery.		
Actions needed to deliver the target savings		be added to the Capi funded from borrowi	ital Programme from ng.	
What are the risks associated with this saving and how wil they be mitigated	s template.	risks identified as p	part of this budget	

#### What does this service deliver?

The repair of existing and installation of new highway drainage systems including pipes, gullies and chambers to restore the effective discharge of surface water from the highway.

#### CMTY015 - TRAFFIC SIGNAL MAINTENANCE

Service Name:			Traffic Signa	Traffic Signal Maintenance	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21			20	18/19	
Gross budget 2017	/18		£0.	.473m	
Income 2017/18			£0.	.000m	
Net budget 2017/18	;		£0.	.473m	
Savings Target and	Dro	filing (discrete )	100r);		
		<b>•</b> • • •	1	<b>T</b> . 4 . 1	
2018/19		2019/20	2020/21	Total	
£m		£m	£m	£m	
-0.150		0.000	0.000	-0.150	
FTE implications: 2018/19		0040/00	2020/21	Total	
		2019/20			
0.00		0.00	0.00	0.00	
Decisions needed to deliver the budgeted savings		Capitalise the funded out of re	0	ent works currently	
Impact upon service		No impact of the service as workloads would remain unchanged.			
Actions needed to deliver the target savings		Capitalise the part of the revenue budget			
What are the risks associated with this saving and how will they be mitigated		There are no kr	own risks to this pro	posal	

#### What does this service deliver?

The Lancashire Traffic signals team manage signalised junctions and crossing points (Toucan, Puffin and Pelican)

A number of these are directly linked to the UTC system at County Hall which allows the council to strategically manage the network. These locations are mainly in urban areas and the UTC system is designed to minimise delay on the overall network. The UTC system utilises SCOOT and MOVA to ensure that it is creating the optimal timings possible across the network. The service offers a complete life cycle service including Design, implementation, commissioning, operation, maintenance, and replacement or removal.

The team actively use the tools available to contribute to the council's network management duty as set out in the Traffic Management Act 2004.

# PP001 – DESIGN & CONSTRUCTION - HIGHWAY DESIGN ELEMENT

Service Name:			Design and Construction – Highway Design Element			
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21			20	2018/19		
Gross budget 2017	/18		£3.	.640m		
Income 2017/18				.654m		
Net budget 2017/18	}		-£0	.014m		
Savings Target and	d Pro	ofiling (discrete y	ear):			
2018/19		2019/20	2020/21	Total		
£m		£m	£m	£m		
-0.638		0.000	0.000	-0.638		
FTE implications:						
2018/19		2019/20	2020/21	Total		
0.00		0.00	0.00	0.00		
savings		the multiplier char by the DfT w Scheme. Agree that any o	arged in line with the hen developing the	ce. This would bring multiplier suggested Highways Permit ments to the Capital agreement.		
Impact upon service		value of the ca cost of the multi The basis for t included in pro calculation of hierarchy, taking	pital programme to plier and associated he multiplier, and it pjects as a capital the overheads inc g account of staffing a the delivery side of	e an increase in the cover the additional borrowing costs. ts justification to be charge, includes a curred in the LCC and support services the business. The par and transparent,		

	relatively high in terms of what is allowable as capital expenditure or to be part of the added value to the asset.	
Actions needed to deliver the target savings	A decision to increase the multiplier for recharge to the highways capital programme from 2.55 to 3.03 would be required to be taken in 2017/18 for implementation in 2018/19.	
	The size of the capital programme and capital financing budget will need to be increased to reflect the increased costs.	
What are the risks associated with this saving and how will they be mitigated	<ul> <li>Political and reputational damage as Lancashire County Council could be viewed by external developers as expensive and not providing value for money. This could potentially lead to a loss of income generated through externally funded works and the impact will need to be kept under review.</li> <li>The level of additional is directly linked to the size of the capital programme and the acceptance of the increased multiplier</li> <li>A robust justification for the increase in fees will be required to address challenges from funding bodies, partners, and the private sector; and to satisfy any audit requirements.</li> </ul>	

#### What does this service deliver?

The Design and Construction Service consists of a multi-disciplinary design team of architects, landscape architects, interior designers, building surveyors, quantity surveyors, mechanical and electrical engineers, civil engineers, structural engineers, geotechnical engineers and drainage engineers, who are responsible for design and project management of the councils Capital Buildings and Highways programmes, together with some revenue works and income generating works for third parties such as schools and developers.

The Highway Design element of the service delivers works with a typical annual value of between £20-30 million. This work includes both large and small scale highway design covering a variety of project types from designing new roads, junction alterations, drainage, road safety, cycling projects, public realm improvements, masterplans, landscaping, new bridges, to the repair and maintenance and inspection works on bridges. Whilst the principal delivery responsibility for City Deal infrastructure sits within Planning and Environment, the Design and Construction Service also delivers a significant element of this large infrastructure programme. In addition the

service is able to provide historic and current information relating to ground conditions and any contaminants that may be present prior to construction activity.

# PP003 – DESIGN & CONSTRUCTION - PROPERTY ELEMENT

Service Name:			Design and Construction – Property Element	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		2	2018/19	
Gross budget 2017	/18	£1	4.158m	
Income 2017/18		£1	l6.133m	
Net budget 2017/18	1	£	-£1.975m	
Savings Target and	l Profiling (discrete y	vear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
- 0.683	0.000	0.000	-0.683	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
savings	multiplier) charge multiplier charge percentage equ increasing this to Agree that any o	<ul> <li>excluding Schools Capital and bring the fee (equivalent multiplier) charged in line with the proposed increased multiplier charged in Highways of 3.03. The current Fee percentage equates to an equivalent multiplier of 1.8, increasing this to 3.03 would generate additional income.</li> <li>Agree that any consequential adjustments to the Capital Programme would require Member agreement.</li> </ul>		
Impact upon servic	increase in th borrowing costs The current fe industry norm, t	<ul> <li>The increase in fee (equivalent multiplier) will require an increase in the capital programme and associated borrowing costs.</li> <li>The current fee structure is closely aligned with the industry norm, to ensure the service demonstrates value for money, and will need to be amended to reflect the increased fee.</li> </ul>		
Actions needed to deliver the target savings	property relate	Decision to increase the fee (equivalent multiplier) to property related capital projects, excluding schools would be required in 2017/18 to be applied from 2018/19.		

	Increase in the value of the non-schools capital programme and associated borrowing costs.
What are the risks associated with this saving and how will they be mitigated	The design costs applied by the in-house team could be exposed to a greater level of challenge as not being value for money or in line with the external market place. Such challenge could result in the loss of work, and consequential loss of income and will need to be kept under review. An increase in the size of the capital programme and associated borrowing costs against which the service can claim the increase in Fee

### What does this service deliver?

The Design and Construction Service consists of a multi-disciplinary design team of architects, landscape architects, interior designers, building surveyors, quantity surveyors, mechanical and electrical engineers, civil engineers, structural engineers, geotechnical engineers and drainage engineers, who are responsible for design and project management of the councils Capital Buildings and Highways programmes, together with some revenue works and income generating works for third parties such as schools and developers.

The Building Design element of the service delivers works with a typical annual value of between £50 – 70 million. This work includes both large and smaller scale building refurbishment, remodelling, extensions, new builds, repair and maintenance works including testing and servicing to ensure statutory compliance in accordance with health and safety legislation (i.e. legionella management, electrical safety) for our buildings and schools. This element of the service is also traded with schools in Lancashire through the Pooled Resources Operational plan (PROp) or Property Management Service Level Agreements (SLA) providing schools with a complete property design, build and maintenance service for which an appropriate fee is charged.

# PP008 – LAND NOT IN OPERATIONAL USE (LNIOU)

Service Name:			Land Not in Operational Use (LNIOU)	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19	
Gross budget 2017	/18	f(	).833m	
Income 2017/18			).078m	
Net budget 2017/18			).755m	
Savings Target and	Profiling (discrete	year):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.075	-0.100	-0.100	-0.275	
0.070	0.100		0.210	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
savings	instance.	health & safety and occupiers' liability factors in the fir instance.		
Impact upon servic	act upon serviceThe area of land/property held as LNIOU depends or acquisition of properties held for capital schemes and speed of closures/vacations of operational prop coupled with disposal route (open market/restricted 		oital schemes and the operational property market/restricted with	
	for land where has been redu satisfy Health	Potential reduction in the level of capital receipt secured for land where 'invest to save' spend of the LNIOU budget has been reduced or removed due to the requirement to satisfy Health and Safety and Occupiers Liability requirements with a reduced budget.		
	Reduced mark		ithout the benefit of	
		cupiers Liability cos	address Health and ts on sites which are	

Actions needed to	The principle to be approved and then the prioritisation
deliver the target savings	of items and actions to be delivered through the reduced budget.
	Review of all LNIOU, current and anticipated, to identify priorities.
	There also needs to be an understanding of any policies to which surplus property is seen as a deliverer, for example, regeneration, where sites that are no longer in operational use offer opportunities as regeneration sites. This could potentially affect spend/complexity/holding times/receipts for these sites as regeneration (and other) proposals are developed. This will have implications for the LNIOU budget.
What are the risks associated with this saving and how will they be mitigated	Size and scale of area of LNIOU – this is not in the direct control of the service and can be affected by a number of issues e.g. school sites vested in us following closure and the liabilities that come with them, these can cause substantial non-programmed expenditure; advance acquisition of property required for capital schemes that can be subject to delay or are intentional, planned long term programmes.
	Unexpected or unknown requirements or land issues coming forward with a significantly reduced budget could lead to service overspends if works are essential due to H&S and to manage LCC landowner liabilities.
	Reduced investment in site security (other than that required for H&S and Occupiers Liability) leading to increase vandalism, damage, theft etc.
	Local community concern relating to the condition of LNIOU.
	Reduced capital receipts due to reduced or removed opportunity to invest in the value of land or buildings prior to sale.
	Political or reputational risk of not achieving best possible capital receipts for assets.
	Political and reputational risk if sufficient funds not available for making sites safe
	These risks can be identified early through effective monitoring of surplus property, capital schemes, the budget position and political requirements.

Mitigation of some risks through early disposals, effective and appropriate marke and delivery of capital schemes.	
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#### What does this service deliver?

Although the LNIOU budget is not technically statutory, it is a budget that addresses the fact that the authority has a legal obligation to maintain vacant land and properties of which it has ownership.

The budget is used to maintain property acquired for capital highways schemes and surplus or proposed to be declared surplus property in the main. There is a requirement to maintain the property as a responsible authority including statutory requirements, which can include security, asbestos, health and safety. Additionally, there is currently an element of this budget invested to increase the value of property assets through demolitions/planning applications etc, as a form of invest to save, which is not statutory, but increases the capital receipt. This proposal would curtail and possibly remove the opportunity to invest in this way using the LNIOU budget.

# Money Matters -Additional Savings 2018/19 – 2020/21 Cabinet January 2018



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# CYP023 – SPECIAL GUARDIANSHIP ORDER PAYMENTS

Service Name:		Special G	Special Guardianship Order (SGO) Payments	
Which 'start year' does 2018/19, 2019/20 or 202			2018/19	
Gross budget 2017/18			£5.934m	
Income 2017/18			£0.000m	
Net budget 2017/18			£5.934m	
Savings Target and Pro	ofiling (discrete year)	):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.120	-0.397	-0.673	-1.190	
FTE implications:		T	- F	
2018/19	2019/20	2020/21	Total	
1.00	0.00	0.00	1.00	
Decisions needed to deliver the budgeted savings	policy to consid entitlement that said child) from awarded to a gu This will apply where applicant To apply the re from 1 <sup>st</sup> April assessment pro date. This policy has West authorities	<ul> <li>Agree to review the Special Guardianship Order (SGO) policy to consider deducting child tax credit (the additional entitlement that is a result of the securing an order on the said child) from the baseline means-test allowance that is awarded to a guardian.</li> <li>This will apply to new applicants and existing guardians where applicant is eligible for child tax credit.</li> <li>To apply the revised policy to new applications with effect from 1<sup>st</sup> April 2018, and to implement a rolling reassessment programme for existing Guardians from that date.</li> <li>This policy has been adopted by a number of other North West authorities.</li> </ul>		
Impact upon service	<ul> <li>Allowances are currently paid for c.900 children and young people. Approximately 250 financial assessments are undertaken, and c.132 new Special Guardianship Orders with allowances are granted per annum.</li> <li>Children's Social Care (CSC) workers collate information to complete the means-test financial assessment, and forms are overseen by Exchequer Services prior to a Special Guardianship Order application, support plan and financial offer being presented in Court.</li> </ul>			

	<ul> <li>This proposal will require CSC to have evidence of the additional child tax credit entitlement either:</li> <li>Prior to the Court hearing, to present the correct allowance, or</li> <li>After the Order is granted, once the revised benefit entitlement has been awarded, to facilitate a reassessment to the correct allowance rate.</li> </ul>
	The service must adhere to strict court timescales and therefore gathering additional information will impact on resources. It is proposed that a Financial Assessment post be established (adopted by a number of authorities including Manchester and Wigan) at Grade 6, consistent with similar roles currently in Exchequer Services.
	Prospective guardians may need additional support to understand their entitlement, particularly for those not currently in receipt of benefits but who may be entitled if an Order is granted. The benefits rules are complex, particularly in light of the roll-out of Universal Credit. This expertise will need to be drawn on from outside of Children's Social Care and therefore an assessment is required as to whether the support could be absorbed within existing resource.
	Upon granting of an Order a child or young person ceases to be looked after. The Authority is no longer the corporate parent and Children's Social Care statutory intervention differs. Therefore there is an impact on both social worker resource and on placement costs of a child or young person being looked after rather than being subject to Special Guardianship Order. There could be resultant pressure on social care services if guardians perceive the change in policy will have a negative financial impact.
Actions needed to deliver the target savings	Seek legal advice in relation to applying the revised financial assessment for existing Guardians.
	Cabinet Member approval to apply adjusted financial assessment.
	Notify (in writing) all existing Guardians of the intention to undertake a financial reassessment. This will in essence be a reminder to Guardians as they should have received this information when the Order was awarded.
	Assess/identify the resource required (existing or additional) to (1) provide benefit entitlement advice to prospective guardians, (2) evidence additional entitlement to inform the

	financial assessment and (3) undertake a programme of reassessment in relation to existing allowances
What are the risks associated with this saving and how will they be mitigated	Existing guardians may request that an Order is revoked, and prospective guardians may be deterred from progressing an application, if the financial assessment is perceived to result in a reduction of income, they may have otherwise received if the tax credit was not removed. Welfare reforms 2017 – Rollout of Universal Credit. The authority will need to understand how the changes will impact on this proposal
	<ul> <li>Mitigations: <ul> <li>specialist advice in place to help carers access benefits they are entitled to (internal or via signposting to external support services)</li> <li>Reassessment to be reviewed on a case by case basis, with discretion applied where appropriate.</li> </ul> </li> </ul>

#### What does this service deliver?

#### The legal framework for special guardianship:

The Adoption and Children Act 2002 provides the legal framework for special guardianship under the Children Act 1989.

A Special Guardianship Order is an order appointing a person or persons to be a child's special guardian. Applications may be made by an individual or jointly by two or more people to become special guardians.

The special guardian will have parental responsibility for the child. Subject to any later order, the special guardian may exercise parental responsibility to the exclusion of all others with parental responsibility, apart from another special guardian.

Where children were previously looked after prior to the making of a Special Guardianship Order, Children's Social Care have a duty to assess and support and this includes financial support. Carers can also request the Local Authority assess them as a Special Guardian if they are caring for a child who is not theirs. These cases are less common.

Local Authorities have a duty to assess and support and must consider comparison to foster care payments.

Section 4

# Equality Analysis Toolkit

# CYPo23: SGO Payments For Decision Making Items

January 2018

County Council

www.lancashire.gov.uk

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# What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting:

Jeanette Binns (Equality and Cohesion Manager) at Jeanette.binns@lancashire.gov.uk

## Name/Nature of the Decision

Reduce financial support from the County Council attached to Special Guardianship Orders who meet the threshold for social care assessment and support.

#### What in summary is the proposal being considered?

To proposal is to review the Special Guardianship Order (SGO) policy and consider deducting child tax credit (the additional entitlement that is a result of the securing an order on the said child) from the baseline means-test allowance that is awarded to a guardian. This is proposed to apply to New Applicants and existing Guardians where applicant is eligible for child tax credit.

This is in accordance with DFE guidelines and regulation 13 (Statutory guidance for local authorities on the Special Guardianship Regulations 2005 (as amended by the Special Guardianship (Amendment) Regulations 2016).

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

The decision will effect individuals equally across the county.

Those that would be effected are the cohort of:

- Current SGO carers whose financial allowance might reduce as a result of financial reassessment.
- Perspective SGO carers who are likely to receive less financial support from LCC in the future.

The expectation is that this additional support is claimed from other sources such as DWP.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Yes. Age – those under 18 years old or 21 who are disabled.

The proposal may impact young people who have been removed from the immediate family and placed with extended family under special guardianship. This is a vulnerable group who may have previously been subject to significant harm.

Current Special Guardians may relinquish the Order if payments to them were reduced, hence the child would become Looked After. This could result in a negative impact upon the child and carer.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

# Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

The proposal has the potential to impact on all service users open to LCC and receiving and SGO payment.

Allowances are currently paid for around 900 children and young people. Approximately 250 financial assessments are undertaken, and around132 new SGO's with allowances are granted per annum.

There are likely to be individuals with protected characteristics within the current cohort. There will also be individuals with protected categories who we are not aware of who will come through the process of assessment in the future.

# **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

Consultation has taken place through the DFE when Special Guardianship was reviewed 2016. The request to implement is in line with the statutory guidance 2005 which was revised 2016.

[Statutory guidance for local authorities on the Special Guardianship Regulations 2005 (as amended by the Special Guardianship (Amendment) Regulations 2016) Regulation 13]

There has been no consultation with existing SGO carers.

# Question 3 – Analysing Impact

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities.
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

Current Special Guardians may relinquish the Order if payments to them were reduced, hence the child would become Looked After. This could result in a negative impact upon the child and carer.

If the status of the young person changes there is an impact on both social worker resource and on placement costs of a CYP being looked after rather than being subject to SGO. There could be resultant pressure on social care services if guardians perceive the change in policy will have a negative financial impact.

Carers might be less able to provide provision over and above a basic need which could include participation in public life.

The proposal could affect relationships with current service users in this cohort. This impact could be mitigated by:

- Only applying to new applicants.
- Provide ample notice to the change.

# Question 4 – Combined/Cumulative Effect

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

Welfare Reforms and changes to universal credit could result in an exacerbated impact.

# **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how –

For example: Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

No. The proposal is unchanged. This proposal is in line with statutory guidance.

# **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is

important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

## Mitigations:

- Specialist advice in place to help carers access benefits they are entitled to (internal or via signposting to external support services)
- Reassessment to be reviewed on a case by case basis, with discretion applied where appropriate.
- Give advanced notice to cohort effected
- Take and action any legal advice
- Exercise discretion which is referred to within the regulations allowing LA to step outside of the agreed arrangement

# **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

There is a need to reduce expenditure and there would be a saving by implementing any of the Option as detailed in the budget option.

The proposal would apply to new applicants and existing Guardians where applicant is eligible for child tax credit.

SGO Statutory guidance states that it is important to ensure that special guardians are helped to access benefits to which they are entitled. Local authorities should therefore endeavour to ensure that the special guardian or prospective special guardian is aware of, and taking advantage of, all benefits and tax credits available to them. Financial support paid under these Regulations cannot duplicate any other payment available to the special guardian or prospective special guardian and regulation 13 provides that in determining the amount of any financial support, the local authority must take account of any other grant, benefit, allowance or resource which is available to the person in respect of his needs as a result of becoming a special guardian of the child. The proposal is consistent with statutory guidance.

There may be challenge from Special Guardians who have possible being receiving the equivalent of the child tax credit from LCC and possibly claiming Child Tax Credit from DWP. We can provide some mitigation by supporting Guardians them to claim the benefit and to pay whilst awaiting benefit. Regulation 13 supports a decision to implement this proposal if there was a legal challenge.

We could implement this proposal immediately in relation to new applicants. 28 days' notice would need to be given to current applicants plus a further 28 days from the date they were advised that there would be a change to their payments.

# Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

The final proposal is to review the Special Guardianship Order (SGO) policy and deduct child tax credit (the additional entitlement that is a result of the securing an order on the said child) from the baseline means-test allowance that is awarded to a guardian. This is proposed to apply to New Applicants and existing Guardians where applicant is eligible for child tax credit.

This proposal is in accordance with DFE guidelines and regulation 13 (Statutory guidance for local authorities on the Special Guardianship Regulations 2005 (as amended by the Special Guardianship (Amendment) Regulations 2016).

The proposal has the potential to impact on all service users open to LCC and receiving and SGO payment.

Allowances are currently paid for around 900 children and young people. Approximately 250 financial assessments are undertaken, and around132 new SGO's with allowances are granted per annum.

There are likely to be individuals with protected characteristics within the current cohort. There will also be individuals with protected categories who we are not aware of who will come through the process of assessment in the future.

# **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

The effect of the proposal will be monitored through ongoing review of the numbers of new SGO applications and SGOs in place.

Equality Analysis Prepared By Josephine Lee – Strategic Senior Manager (Childrens Social Care) / Dave Carr – Head of Service (Policy, Information and Commissioning)

Equality Analysis Endorsed by Line Manager and/or Service Head

Decision Signed Off By

Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact: Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Thank you

# CYP025 - SECTION 17 PAYMENTS

Service Name:		Section	Section 17 Payments	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		2	2018/19	
Gross budget 2017/	18	f	2.729m	
Income 2017/18			0.000m	
Net budget 2017/18			2.729m	
0				
Savings Target and	Profiling (discrete ye	ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.350	0.000	0.000	-0.350	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
savingsAgree to review commissioning arrangement support in the community, to assist children and fa remaining together.Impact upon serviceChildren and Families may not receive intervention support which would de-escalate/prevent escalate		t children and families eive interventions and		
needs. If not considered and managed carefully m increase Children Looked After numbers. There may be a resultant pressure on in-house existing commissioned services to provide alternative the one-off interventions that have been purchased us Section 17 funding. Examples of services which likely to see demand pressures include Crisis Fu Supporting Housing for Complex Young Peo Emotional Health and Wellbeing Commissioned Services		naged carefully might mbers. Sure on in-house and provide alternatives to been purchased using of services which are include Crisis Fund, blex Young People,		
Actions needed to deliver the target savings	Crisis Fund a in some cir support is ba Crisis Fund p • Assess whet	and whether this m cumstances (not used on a statutory preventative). her the criteria fo	ntion and Early Help ight provide mitigation ing that Section 17 y assessment and the r access to the Crisis when a Child In Need	

	assessment has taken place and provision is based on statutory assessment.
	<ul> <li>Identify all services which should be explicitly considered prior to making Section 17 payments and develop improved guidance for social workers.</li> </ul>
	Revise the current Section 17 Policy Statement.
	• Communicate/engage with Lancashire County Council Services and Partner organisations (particularly in respect of Crisis Fund, Emotional Health and Wellbeing Core Offer, Department for Works and Pensions and Housing Organisations) to ensure that there are clear pathways for families to access support from other existing agencies so that Section 17 payments are only made as a last resort.
	Communicate with families that might be impacted.
	<ul> <li>Redesign Children's Social Care systems and processes to reflect proposed changes.</li> </ul>
	Implement new policy and embed within Practice.
	Review Commissioning arrangements for community based interventions delivered in the home.
What are the risks	Risks include:
associated with this saving and how will they be mitigated	Increase in family breakdowns/crisis and subsequent increase in Children Looked After numbers and costs of fostering or residential care.
	• Greater pressure on prevention and early help third party commission for emotional health and wellbeing.
	Increased pressure on internal resources.
	<ul> <li>Impact on Department for Work and Pensions who may be under increased pressure to process claims/resolve issues quickly.</li> </ul>
	Impact on District Council's where families present as homeless.
	• Pressure on LCC budgets for children and young people with complex needs and care leavers where children and young people present as homeless.

<ul> <li>Impact on partner organisations generally if family breakdowns / potential for crisis increases</li> </ul>
Mitigations
Review Section 17 payments and evidence of why this was the only option available following assessment of needs so that we can:
<ul> <li>better identify agencies who, with more forward planning, might have been able to provide the service / prevent issue arising under their statutory duties.</li> <li>develop improved guidance for social workers to ensure that S17 payments are made only as a last resort</li> </ul>
• Early engagement and development of clear pathways with wider LCC children's and families services (eg Welfare Rights and Family Information Service) and Partner organisations to ensure that alternative provision from existing resource is identified and accessed wherever possible
<ul> <li>Clear approach to use of Crisis Fund and whether this might provide some mitigation in exceptional circumstances.</li> </ul>

# What does this service deliver?

The Section 17 budget forms part of Children's Social Care service and enables social workers to give assistance (either direct financial assistance or the purchase of goods and services) to help meet statutory assessed need.

In terms of the legal definition, the Children Act 1989, sets out the following definition of Section 17, Children in Need:

It should be the general duty of every Local Authority:-

a) To safeguard and promote the welfare of children within their area who are in need.

b) So far as is consistent with that duty to promote the upbringing of such children by their families by providing a large and level of services appropriate to those children's needs.

The services provided by the Local Authority in the exercise of functions conferred on them by this section may include (providing accommodation) and giving assistance in kind or, in exceptional circumstances, cash for the purposes of maintaining the welfare of the child (not the adult). Before giving assistance a Local Authority shall have regard to the means of the child concerned and of each of his parents. No person shall be liable to make any repayment of assistance of its value at any time when he is in receipt of Income Support, Child Tax Credits, or any income based JSA or of any income related employment and support allowance.

Spend is made up of hundreds of individual transactions on items. Further work is needed to review/challenge each area but significant areas of categorised spend include accommodation, childcare provision, medicals, therapeutic interventions and payments to families/carers.

Other areas of spend include Clothing, Direct Payments, Financial Assistance, Flights, Taxis, Rail fares, Food, Furniture / White Goods, Holidays/Trips and more. Cumulative spend in this areas is significant.

Section 4

# Equality Analysis Toolkit

# CYPo25: Children's Social Care Section 17 Payments For Decision Making Items

January 2018

County Council

www.lancashire.gov.uk

Page 420

# What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

# http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting Jeanette Binns (Equality and Cohesion Manager) at <u>Jeanette.binns@lancashire.gov.uk</u>

### Name/Nature of the Decision

Section 17 Payments

## What in summary is the proposal being considered?

The proposal is to cease a range of payments made to children, families and carers under S17 of the Children Act

In terms of the legal definition, the Children Act 1989, sets out the following definition of Section 17, Children in Need:

It should be the general duty of every Local Authority:-

a) To safeguard and promote the welfare of children within their area who are in need.

b) So far as is consistent with that duty to promote the upbringing of such children by their families by providing a large and level of services appropriate to those children's needs.

The services provided by the Local Authority in the exercise of functions conferred on them by this section may include (providing accommodation) and giving assistance in kind or, in exceptional circumstances, cash for the purposes of maintaining the welfare of the child (not the adult).

Before giving assistance a Local Authority shall have regard to the means of the child concerned and of each of his parents. No person shall be liable to make any repayment of assistance of its value at any time when he is in receipt of Income Support, Child Tax Credits, or any income based JSA or of any income related employment and support allowance.

The County Council spends around £2.4m on payments made to or on behalf of children, families and carers which is recorded as spend under S17 of the Children Act. Within this, there is some spend which appears either miscoded or has been used as a work around where, for example, Foster Carers have not yet been set up for regular payments.

Spend is made up of hundreds of individual transactions on items. Further work is needed to review/challenge each area but significant areas of categorised spend identified from a review of 2016/17 spend included:

Accommodation	£127,680	
Childcare/Nursery	£205,943	
Medicals/Therapeutic Interventions/DNA Tests	£260,951 (will include pre-court	
experts)		
Support	£112,000	
Assistance	£113,185	
Allowances	£ 98,071	

Pay point (payments to families/carers)

Other areas of spend include Clothing, Direct Payments, Financial Assistance, Flights, Taxis, Rail fares, Food, Furniture / White Goods, Holidays/Trips and more. Cumulative spend in this areas is significant.

£398,744

Some elements of spend that could cease if we had a clear policy of not agreeing spend relating to accommodation, childcare and other discretionary payments to

parents/carers and avoided the use of therapeutic interventions paid for by LCC through the S17 budgets.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open. The decision will impact on children and families across Lancashire.

# Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above - e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Yes, the proposal will impact on children and young people

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

# Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

There are around 2000 children and young people who have CiN status at any point in time.

Within this group there will be children and young people in challenging circumstances but as a population, their needs are not defined by their protected characteristics.

# **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

There has been no engagement with service users/families regarding this decision. There has been some ongoing engagement with health partners to identify scenarios where therapeutic interventions paid for by the County Council should be either jointly funded or paid for entirely by Health budgets.

If the proposal is progressed, there should be further stakeholder engagement to ensure that wider LCC services and Partners are clear about approach and impact.

# **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

The impact of reducing Section 17 payments will be dependent on the individual needs of children, young people and their families and the alternative ways that are identified to ensure that assessed needs are met.

Risks include:

- Possible increase in family breakdowns/crisis and subsequent increase in Children Looked After numbers and costs of fostering and residential care.
- Greater pressure on prevention and early help third party commission for emotional wellbeing.
- Increased pressure on internal resources.

- Impact on DWP who may be under increased pressure to process/resolve claims/issues quickly.
- Impact on District Councils where families present as homeless.
- Pressure on Lancashire County Council budgets for children and young people with complex needs and care leavers where children and young people present as homeless.
- Impact on partner organisations generally if family breakdowns/potential for crisis increases

# Question 4 –Combined/Cumulative Effect

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

Yes. If there are potential reductions in other areas of support relating to preventative or crisis services there may be a cumulative impact, especially if these include services such as Welfare Rights or the Prevention and Early Help Fund. These services are those which provide the mitigation to this option. If provision is not available or identified through such services then support will need to be commissioned from third parties. Where this provision is in respect of an identified need under statutory assessment processes, there will be a continued need to meet the costs of provision.

# **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how – For example: Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

The proposal is unchanged. We will seek to meet needs through more effective use of resources where possible.

# Question 6 - Mitigation

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

The statutory duty remains for the County Council to safeguard and promote the welfare of children within their area who are in need and; so far as is consistent with that duty to promote the upbringing of such children by their families by providing a large and level of services appropriate to those children's needs.

The needs of children and young people must continue to be met but we need to apply clear criteria to the use of resources.

In the case of therapeutic interventions as an example, we would place greater emphasis in ensuring that the Local Authority's own resources must always be considered first, prior to the external commissioning of an agency. This means, for example, that we would always consider the Children and Families Service Emotional Wellbeing Core Offer before commissioning an external agency to provide interventions which could be offered by that service. We would also look to ensure that appropriate referrals were made to NHS commissioned services before our own external commissioning. We would seek to ensure that statutory needs continue to be met, but making better use of both our own resources and the strengths of children and families.

In the case of paying for childcare as an example, we would make clear reference to the different kinds of existing financial support available to help people pay for childcare, including free early education.

To assist in identifying mitigations we will need to review S17 payments and evidence of why this was the only option available following assessment of needs so that we can:

- Better identify agencies where, with more forward planning, might have been able to provide the service/prevent issue arising under their statutory duties.
- Develop improved guidance for social workers to ensure that S17 payments are only made as a last resort.

# **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the

findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The County Council will continue to meet the needs of children and young people, primarily through better use of existing in-house and partner resources.

The ability to deliver savings through this option does depend on continued availability of in-house and partner services and ensuring that payments made from Section 17 budget by the County council are only as a last resort.

### Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

The proposal is to cease a range of payments made to children, families and carers under S17 of the Children Act. This will impact on the way that the needs of children and young people are met but ultimately the statutory responsibilities to meet those needs, and the requirement for use of Section 17 budgets as a last resort, still remains with the County Council.

# **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

The impact will be monitored through a range of indicators, related to CIN, reported to the Post Inspection Improvement Board and operational management.

Equality Analysis Prepared By Dave Carr Position/Role Head of Service, Policy, Information and Commissioning (Start Well)

Equality Analysis Endorsed by Line Manager and/or Service Head Decision Signed Off By Cabinet Member or Director

# Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Thank you

# COM002c – ASSET MANAGEMENT – ENERGY RECHARGE

Service Name: Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21 Gross budget 2017/18 Income 2017/18		Asset Management – Energy Recharge			
		2	2018/19 £0.424m £0.378m		
		£			
		£			
Net budget 2017/18		£0.046m			
Savings Target and	Profiling (discrete y	ear):			
2018/19	2019/20	2020/21	Total		
£m	£m	£m	£m		
-0.027	0.000	0.000	-0.027		
FTE implications:					
2018/19	2019/20	2020/21	Total		
0.00	0.00	0.00	0.00		
savings Impact upon service	An increase in the	<ul><li>contracts which has not been increased since 2013.</li><li>An increase in the tariff levied on energy suppliers would make a minimal impact on the energy costs of most schools.</li></ul>			
Actions needed to deliver the target savings		Review contractual arrangements and provide appropriate notification to schools.			
What are the risks associated with this saving and how will they be mitigated	to make their ov Display Energy would have an i training opportun The Schools Fu currently providin to understand th	<ul> <li>There is a risk that non-maintained schools may choose to make their own arrangements for energy supply and Display Energy Certificate (DEC) certification. This would have an impact on income generation and wider training opportunities with schools.</li> <li>The Schools Funding Team in Financial Resources are currently providing support to the Schools Forum in order to understand the impact of the national schools funding formula on settings in Lancashire.</li> </ul>			

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 nonoperational) 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.

# COM002d – ASSET MANAGEMENT – REPAIRS AND MAINTENANCE

Service Name: Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		Asset Management – Repairs and Maintenance	
		201	2018/19
Gross budget 2017/1	8	£4.	570m
Income 2017/18		£0.	000m
Net budget 2017/18		£4.	570m
On the Town of and I			
Savings Target and I	Profiling (discrete ye	ear):	
2018/19	2019/20	2020/21	Total
£m	£m	£m	£m
-0.750	-0.750	-0.750	-2.250
FTE implications:			
2018/19	2019/20	2020/21	Total
0.00	0.00	0.00	0.00
	across property maintenance but	/ assets. Reduce	l, capital investment the repairs and
		/ assets. Reduce	
Impact upon service	The Repairs and elements: • Service co maintenal legionella • Planned r • Day-to-da	y assets. Reduce dget. d Maintenance budg ontracts e.g. statutor nce aspects such as testing, lift maintena naintenance ly maintenance	the repairs and get comprises three ry compliance and a larm testing, ance etc.
	The Repairs and elements: • Service co maintenan legionella • Planned r • Day-to-da This proposal w for unplanned w unforeseen need	y assets. Reduce dget. d Maintenance budg ontracts e.g. statutor nce aspects such as testing, lift maintena naintenance by maintenance ill result in a reduce vorks to property ass d for repairs.	the repairs and get comprises three by compliance and alarm testing, ance etc. ed revenue capacity sets in the event of
Impact upon service Actions needed to deliver the target savings	The Repairs and elements: • Service co maintenan legionella • Planned r • Day-to-da This proposal w for unplanned w unforeseen need Production of a c plan underpinne led, capital inves capital programm quinquennial cor	y assets. Reduce dget. d Maintenance budg ontracts e.g. statutor nce aspects such as testing, lift maintena maintenance by maintenance ill result in a reduce yorks to property as	the repairs and get comprises three ry compliance and alarm testing, ance etc. ed revenue capacity sets in the event of sset management ramme of condition rty assets. The by detailed ement of premise

	fire risk assessment, asbestos surveys, energy
	efficiency etc. Adopt a lifecycle planning approach to the maintenance of county council property assets.
	Defects reported through systems will be reviewed to assess where they should be aligned with the capital programme. An agreed financial threshold will be set to enable small scale works to progress in a timely manner.
	Review service contracts to identify where efficiencies can be made.
	Consider where inspection schedules may be adopted in line with regulatory guidance and so reduce the frequency of visits.
	Develop agreed process and standards for carrying out planned maintenance where this cannot be addressed though the capital programme.
	Develop agreed process and standards for carrying out reactive repairs where they are necessary to ensure the health and safety of premise users and suitability of service delivery.
	Delivery of the capital programme will be aligned with suitability works required for service delivery as appropriate.
What are the risks associated with this saving and how will they be mitigated	Reduced flexibility to carryout reactive works. Corporate asset management board to be established with oversight of corporate asset management plan, programme of works and delivery.
	There is a risk in reducing the revenue budget available in advance of new arrangements being developed in order to progress a comprehensive capital programme. Propose to utilise £0.75m revenue in 2018/19 in order to ensure relevant data is collected, collated, stored on the Property Asset Management System (PAMS) and analysed in order to inform the capital programme. This may entail appointment of additional capacity within asset management, the commissioning of a range of premise compliance data, and the production of a corporate asset management plan.

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 nonoperational) 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

# LD001 – CENTRAL GATEWAY FUND (VOLUNTARY AND COMMUNITY FAITH SECTOR (VCFS))

Service Name:			Central Gateway Fund (Voluntary Community and Faith Sector)	
Which 'start year' d relate to 2018/19, 2		20	018/19	
Gross budget 2017	/18	£C	).673m	
Income 2017/18			).035m	
Net budget 2017/18		£0	).638m	
Savings Target and	I Profiling (discrete	year):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.673	0.000	0.000	-0.673	
FTE implications:		<b></b>	<u> </u>	
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
Impact upon service         The grants would cease.				
Actions needed to deliver the target savingsThe last round of Central Gateway Funding rat 2016-18, therefore no specific actions wou necessary to cease the service. A decision on what with any grant funding not awarded by the end of 20 would be required. Potential applicants would need 		actions would be ecision on what to do by the end of 2017/18		
What are the risks associated with thi saving and how wil they be mitigated	s Faith Sect providing f • Potential	or partners, and pote funding for the sector	ary Community and entially other partners : ity within Voluntary	

 ·
<ul> <li>Central Gateway Grants are used for infrastructure purposes. The viability of third sector groups may be affected by withdrawal.</li> </ul>
<ul> <li>Central Gateway Grants are made in line with corporate priorities, and so may affect delivery of such priorities.</li> </ul>
• Other grant funding streams offered by the Council have already been proposed to be withdrawn as savings measures. Part of the mitigation for those earlier decisions was that this funding stream was to continue.
• Piecemeal withdrawal of individual grants/funding streams for the Voluntary Community and Faith Sector may not deliver the full savings potential of a wholesale review across the county of all funding provided Voluntary Community and Faith Sector.
Efforts have been made in the last round of awards (2016-18) to ensure the funding was directed to building capacity within the sector to encourage sustainability and self-sufficiency.
The grants are non-statutory. However, as they are awarded in line with corporate priorities, withdrawal of front line services delivered by VCFS through CG funding may result in increased demand on LCC Services and may adversely affect particular groups.

Central Gateway Grants offer an opportunity for infrastructure organisations or organisations providing significant infrastructure support to other third sector organisations to apply for strategic funding to help deliver Lancashire County Council's priorities and key objectives.

Section 4

# Equality Analysis Toolkit

# LDoo1: Central Gateway Fund Grants For Decision Making Items

January 2018

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# What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting:

Jeanette Binns (Equality and Cohesion Manager) at Jeanette.binns@lancashire.gov.uk

#### Name/Nature of the Decision

To cease Central Gateway Fund Grants

#### What in summary is the proposal being considered?

That the Central Gateway Fund Grants scheme ceases from 2018/19. The scheme provides infrastructure funding of £0.673m per annum to the Voluntary Community and Faith Sector in Lancashire.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

#### Grants are County-Wide.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Further analysis needs to be undertaken to assess the potential impact on any group or individuals sharing protected characteristics. However, grants are to support infrastructure development across the Voluntary Community and Faith Sector. No particular sector is targeted or given priority.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

# Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

Close partnership working with the umbrella organisation One Lancashire provides information on the use of the funding. The most recent round of funding, covering 2016-2018, was designed to boost resilience and sustainability in the sector generally, rather than target specific delivery outcomes.

# **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

No specific consultation has been undertaken at this stage but engagement with the sector is ongoing and the proposal to cease further funding has been discussed as an option post March 2018.

# **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

The most recent round of funding has been aimed to develop resilience and sustainability within the sector, on the understanding that there was no guarantee that additional funding would be provided post-2018. It is anticipated, therefore, that planning by the Voluntary Community and Faith Sector recipients has already taken into account the scenario that the funding could be withdrawn. However, there could still be an impact in scaled down activity undertaken by Voluntary Community and Faith Sector groups on the basis of this assumption. Many Voluntary Community and Faith Sector groups support preventative activities and/or services and their capacity to do this going forward may be adversely affected.

# **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

The council has already proposed withdrawing two other funding streams aimed at the third sector – Members grants and Young Persons small grants. Other organisations which offer grant funding, especially elsewhere in the public sector, are under similar financial pressure and may also seek to reduce or withdraw nonstatutory funding to the third sector. There could be a cumulative effect.

# **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

At this stage it is proposed to continue with the original proposal pending the outcome of the further analysis identified above. Once this analysis has taken place the proposal maybe adjusted or stopped.

# **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

Consideration will need to be given to communicating the change with the Voluntary Community and Faith Sector and specifically with One Lancashire.

A wider review or assessment of all funding and support given to the Voluntary Community and Faith Sector by the County Council may be beneficial both in ensuring funding is targeted and in identifying further efficiencies (to ensure best use of any funding).

# **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The Central Gateway Fund was always intended as an enabler, supporting selfsufficiency within the sector. Whilst stopping the funding will undoubtedly be felt, the current use of the fund and planning for beyond 2018 was always made on the assumption that the funding may end March 18.

#### Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how? As originally proposed subject to the outcome of further analysis and consultation.

# **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Continue to monitor impact on other grant funding streams and feedback from third sector groups.

Equality Analysis Prepared By Josh Mynott Position/Role democratic and Member Services Manager Equality Analysis Endorsed by Line Manager and/or Service Head Paul Bond Head of Legal & Democratic Services Decision Signed Off By Cabinet Member or Director

# Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Thank you

# LD011 - LOCAL INITIATIVE FUND

Service Name:		Local Initiative Fund		
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19	
Gross budget 2017/18		£0.	127m	
Income 2017/18			000m	
Net budget 2017/18		£0.	127m	
Savings Target and P	rofiling (discrete y	ear):		
2049/40	2040/20	2020/24	Totol	
2018/19 £m	2019/20 £m	2020/21 £m	Total £m	
-0.127	0.000	0.000	-0.127	
0.121	0.000	0.000	0.121	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
deliver the budgeted savings Impact upon service Actions needed to deliver the target savings	The grants would cease. Local Initiative Fund Grants are awarded on an annual basis, therefore no specific actions would be necessary to cease the service. However potential applicants would need to be contacted to let them know that the funding stream will cease. A decision on what to do with any grant funding not awarded by the end of 2017/18 would			
What are the risks associated with this saving and how will they be mitigated	<ul> <li>be required.</li> <li>Risk of criticism from Voluntary Community and Faith Sector partners, and potentially other partner providing funding for the sector.</li> <li>Potential for reduced capacity within Voluntary Community and Faith Sector.</li> <li>LIF grants operate on a district footprint, and so may affect locality working opportunities and priorities.</li> </ul>		ritially other partners within Voluntary	

<ul> <li>LIF Grants are made in line with corporate priorities, and so may affect delivery of such priorities.</li> </ul>
<ul> <li>Withdrawal of front line services delivered by Voluntary Community and Faith Sector through Local Initiative Fund Grants may result in increased demand on Lancashire County Council services.</li> </ul>
• Other grant funding streams offered by the council have already been proposed to be withdrawn as savings measures. Part of the mitigation for those earlier decisions was that this funding stream was to continue.
• Piecemeal withdrawal of individual grant/funding streams for the Voluntary Community and Faith Sector may not deliver the full savings potential of a wholesale review across the county of all funding provided to the sector.

The Local Initiative Fund scheme, now in its sixth year, is a more targeted way of providing medium-sized grants to voluntary, community and faith sector groups that carry out important work to help communities across Lancashire. Third sector groups/organisations in Lancashire can apply for grants from £1,000 to £5,000 to support the council's priorities.

Section 4

# Equality Analysis Toolkit

# LDo11: Local Initiative Fund Grants For Decision Making Items

January 2018

County Council

www.lancashire.gov.uk

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# What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting:

Jeanette Binns (Equality and Cohesion Manager) at Jeanette.binns@lancashire.gov.uk

#### Name/Nature of the Decision

To cease Local Initiative Fund (LIF) Grants

#### What in summary is the proposal being considered?

That the Local Initiative Fund Grants scheme ceases from 2018/19. The scheme provides grants of between £1000 and £5000 to medium sized Voluntary Community and Faith Sector groups across Lancashire.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

LIF Grants are awarded on a district footprint. As such, they are distributed across Lancashire.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Yes - Grants are allocated in accordance with three priorities :

- Supporting a Total Family Approach;
- Providing Skills and Employment Initiatives;

Providing Activities and Programmes for Young People aged 12 – 19 (up to 25 for people with learning difficulties or disabilities)

Grants may be awarded to groups offering services to all parts of the community, but the criteria clearly indicate that there is a likelihood that such grants will benefit young people to a greater extent.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

# Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

Records are held of all groups who apply, and there is a robust application and assessment process to ensure that groups meet one of the three criteria set out above. Given these criteria, age and disability protected characteristics will be the most adversely affected by this proposal.

# **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process).

No specific consultation has been undertaken at this stage but engagement with the sector is ongoing and the proposal to cease further funding has been discussed as an option post March 2018.

# **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities.
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

The grant awarding criteria does support the advancing equality of opportunity PSED (Public Service Equality Duty) general aim and more widely participation in public life of young people including those with learning disabilities or other disabilities.

Funding cannot be used for infrastructure purposes, and is instead intended to support specific projects or activities. Some opportunities might be lost to engage in particular activities. However, these will likely be one off, and given the maximum funding award of £5000, limited in impact.

# **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

The council has already proposed withdrawing two other funding streams aimed at the third sector – Member Grants and Young People Small Grants. Other organisations which offer grant funding, especially elsewhere in the public sector, are under similar financial pressure and may also seek to reduce or withdraw nonstatutory funding to the third sector. There could be a cumulative effect.

# **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

At this stage it is proposed to continue with the original proposal pending the outcome of the further analysis and consultation identified above. Once this has taken place the proposal maybe adjusted or stopped.

# **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

Consideration will need to be given to communicating the change, especially to groups who apply regularly, and perhaps signposting to other grant schemes.

A wider review or assessment of all funding and support given to the Voluntary Community and Faith Sector by the County Council may be beneficial both in ensuring funding is targeted and in identifying further efficiencies to ensure best use of any funding.

# **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

Local Initiative Fund Grants have been in place for a number of years and are valued by the organisations which apply and benefit from them. The value of individual grants is relatively small, however, albeit that the total saving to the council is  $\pounds 0.127m$ .

#### Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

As originally proposed subject to the outcome of further analysis and consultation. Younger people who may have learning difficulties or disabilities may be affected more than other groups but further analysis is required to ascertain how.

# **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

Continue to monitor impact on other grant funding streams and feedback from third sector groups.

Equality Analysis Prepared By: Josh Mynott Position/Role: Democratic and Member Services Manager

Equality Analysis Endorsed by Line Manager and/or Service Head: Paul Bond Head of Legal & Democratic Services

Decision Signed Off By Cabinet Member or Director Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact:

Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Thank you

# FR006 – EXCHEQUER SERVICES - EARLY PAYMENTS INITIATIVE

Service Name		-	Exchequer Services – Early	
		Paymer	Payments Initiative	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19	
Gross budget 2017/18* *(Estimated value of transactions)		£83	3.333m	
Income 2017/18		£0.	.000m	
Net budget 2017/18		£83	3.333m	
	Profiling (discrete	1		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.100	-0.300	-0.100	-0.500	
FTE implications: 2018/19			Total	
0.00	<b>2019/20</b> 0.00	<b>2020/21</b> 0.00	0.00	
0.00	0.00	0.00	0.00	
Decisions needed to deliver the budgete savings	d Finance to imp will mean if th	To agree the contractual arrangement with Oxyg Finance to implement the Early Payments Scheme whi will mean if the County Council pays creditors' earl than traditional payment terms then a discount will incurred.		
Impact upon servic	<b>ct upon service</b> A number of improvements in operational practice expected to flow from this arrangement if agreed, wit major one being the opportunity to increase take up early payments by increasing the level of electro invoicing.		nent if agreed, with a increase take up of	
Actions needed to deliver the target savings		The County Council will need to collaborate with Oxygen Finance to adapt its operational procedures for paying creditors.		
Contractual term implemented.		rms of trading will r	eed to be properly	

What are the risks associated with this saving and how will	Loss of potential income due to less than rigorous implementation/co-operation on the project.
they be mitigated	The main mitigation of this risk is expected to flow from forming a joint team, specifically working on this project, drawn from Exchequer Services staff and staff provided by Oxygen Finance who are experienced in implementing and maintaining such projects.
	This project will also be the direct responsibility of the Head of Exchequer Services.

Essentially this service offers creditors of the Council early settlement of their payment claims in exchange for a discount payment.

It is important to note that SME's will be offered this facility at no cost.

This arrangement is based financially on a revenue sharing agreement between the County Council and Oxygen Finance – there are no other direct costs for the County Council to bear.

# CMTY007 - RESIDUAL WASTE

Service Name:		Resid	Residual Waste	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		2	2018/19	
Gross budget 2017/	18	£4	5.550m	
Income 2017/18			5.694m	
Net budget 2017/18		£3	9.856m	
Savings Target and	Profiling (discrete y	ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-1.120	0.000	0.000	-1.120	
FTE implications:	2040/20	2020/24	Tatal	
<b>2018/19</b> 0.00	<b>2019/20</b> 0.00	<b>2020/21</b> 0.00	<b>Total</b>	
0.00	0.00	0.00	0.00	
deliver the budgeted savings	result in a reduct landfill and there The process of currently out of less therefore re creating a bette some of the wa Fuel). Proposal to be Waste Recover financial and op	Proposal to be implemented initially at the Thornto Waste Recovery Park on a trial basis to prove ongoin financial and operational viability.		
Actions needed to deliver the target savings	diversion from la Initial temporary waste compar Operations Ltd to successful de	Improved environmental performance and increased diversion from landfill. Initial temporary employment of 13 FTE at the Council's waste company Global Renewables Lancashire Operations Ltd (GRLOL), to become permanent subject to successful delivery of the trial. Approval of GRLOL Board of Directors required.		

	Minor modifications and maintenance to existing equipment to enable the proposed operations which will be managed within existing service budgets.
What are the risks associated with this saving and how will they be mitigated	Savings based on a weight loss prediction of 25% of processed material. Target weight loss levels of 25% may not be achieved. No mitigation available due to process being untested however it is anticipated that a minimum of 20% weight loss will be achieved, therefore unlikely to result in a negative cost position. Part element of saving is in production of additional Refuse Derived Fuel (RDF) from residual waste. Markets which take additional RDF may not be available. Market driven requirements fluctuate and cannot be predicted or mitigated. Re-introduction of composting processes increases the
	environmental risk in the form of odour emissions. However, the operation of existing on site odour management systems has been factored into net costs.

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
- Processing of residual waste
- Landfilling of residual waste
- Operation of HWRCs (until April 2018)
- Operation of waste transfer stations (until April 2018)
- Miscellaneous treatment/disposal contracts: including hazardous waste, clinical waste, batteries, tyres, abandoned vehicles, chemicals and animal carcasses.

# <u>CMTY022 – RESOURCE BUDGET FOR LIBRARIES, MUSEUMS, CULTURE AND</u> <u>REGISTRARS</u>

Service Name:		Libraries, Museums, Culture and Registrars – Resource Budget		
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19	
Gross budget 2017	/18	£1.	238m	
Income 2017/18			000m	
Net budget 2017/18		£1.	238m	
<b>U</b>				
Savings Target and	l Profiling (discrete y	/ear):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.150	0.000	-0.130	-0.280	
0.100	0.000	0.100	0.200	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
0.00	0.00	0.00	0.00	
deliver the budgete savings Impact upon servic	the e-book and to online reference This reduction in quality of service Library Service (proposals will of this cost to 75p that the reservations sa 2017 as the re 78% and 30 da with this perform in budget we satisfaction and Less up to date visits to libraries provide as man may impact or children and yo support their re	et only physical stock e-audio collections wince resources. In the Resource Fund the that each service provide that each service provide that each service provide the service provide the service of the	would impact on the oint could offer. The per reserved item his year to increase of the library user is satisfied as soon as is as follows: - - 40% (from 55% in creased), 15 days - minimal complaints r, with the reduction rease in customer plaints. s may result in fewer will not be able to ual or physical). This pecially as regards a service's ability to as well as impacting	

Actions needed to deliver the target savings	Our contract with library suppliers may mean that our spending power will reduce; we will pay more for the processing of a book which rose from 20p to 30p in September 2016 when the contract was last reviewed and also the discount we receive which has last year gone from 44.5% to 42% and will reduce this year again. In context this would be a further reduction in spend as over the last 3 years we have already reduced the fund by £1m. Spend would be on average 80p per person in Lancashire following this reduction. Suppliers will need to be informed of the reduction in spend which may result in a reduction in the discount received by the service.
What are the risks associated with this saving and how will they be mitigated	There is a risk that a reduction in stock availability may lead to concerns about our ability to deliver a comprehensive and efficient service. The risk could be mitigated by a review of the collections policy to increase stock levels through investing resources in making good donated items so they can be used by the public.

The provision of both physical and virtual stock is a key aspect of the statutory public library service. The resource fund is fundamental in providing up to date resources to meet the requirements of the public. The Society of Chief librarians has six offers which include, reading, digital, health, learning and information. This fund enables the service to deliver all those offers alongside the Library Taskforce Ambition strategy.

# CMTY030 - BUS STOP INFORMATION AND PUBLICITY MATERIAL

Service Name:			Bus Stop Information and Publicity Material		
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21			2018/19		
Gross budget 2017/18			£0.120m		
Income 2017/18			£0.000m		
Net budget 2017/18			£0.120m		
		I	~		
Savings Target and Pr	ofiling (discrete	e year):			
2018/19	2019/20	2020/	21	Total	
£m	£m	£m		£m	
-0.015	-0.019	0.00		-0.034	
FTE implications:					
2018/19	2019/20	2020/2	21	Total	
-1.00	0.00	0.00	)	-1.00	
deliver the budgeted savings	literature, in information. Agree to wor activity and information throughout L	Agree to work with bus operators to develop a model for activity and cost sharing in relation to public transport information provision at bus stops and bus stations throughout Lancashire.			
Impact upon service	authority to information discharges information I cost to the c of service. The cost sha	The 2000 Transport Act makes it a duty on the local authority to make sure that appropriate transport information is made available to the public. LCC discharges this duty by producing coordinated information literature and recharging an element of this cost to the operators, whilst maintaining a similar level of service. The cost sharing model is likely to require the loss of one member of staff.			

Actions needed to deliver the target savings	Consult with staff affected. Negotiate with bus operators on options available to develop cost sharing for information that is currently provided on behalf of bus operators.		
What are the risks associated with this saving and how will they be mitigated	There is a risk that it will not be possible to negotiate a suitable arrangement and that the cost saving will not be possible to achieve whilst maintaining an acceptable level of service. Without adequate supervision, there is a risk that the quality of service will deteriorate resulting in timetable and bus stop information being less accessible to the public. There is a substantial risk that poorer quality passenger information will result in fewer passengers, leading to higher contract costs on the tendered bus network and also commercial service deregistration's, leading to further pressures on the tendered bus services budget. This information is of great value to people with protected characteristics as defined by our Public Sector Equality Duty and depending on the outcome of the discussions with operators the potential equalities impact will be reviewed.		

The service produces bus stop timetables and timetable leaflets for those bus services operated on behalf of and funded by the county council which are distributed to information points throughout the county. Information on changes to bus services are provided direct to County Councillors, customers and other stakeholders.

The service produces bus station passenger information, customer information posters and promotional material for sites like the Park and Rides in Preston and Lancaster and maintains bus stop plates and other related infrastructure, including bus shelter timetable cases.

The service also assists in other public transport promotional activities including providing passenger information notices for road closures and route diversions for Lancashire County Council supported services.

# PH007 – SUBSTANCE MISUSE

Service Name:		Substar	Substance Misuse			
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19			
Gross budget 2017/18		£15	£15.833m			
Income 2017/18			£0.280m			
Net budget 2017/18		£15	£15.553m			
Savings Target and Profiling (discrete year):						
2018/19	2019/20	2020/21	Total			
£m	£m	£m	£m			
-0.300	0.000	0.000	-0.300			
0.000	0.000	0.000	0.000			
FTE implications:						
2018/19	2019/20	2020/21	Total			
0.00	0.00	0.00	0.00			
Decisions needed t deliver the budgete savings	d fees in relation substance mist therapy e.g. me	To agree to reduce the budget provision for dispensing fees in relation to controlled drugs, in support of substance misuse treatment, primarily opiate substitution therapy e.g. methadone, buprenorphine.				
Impact upon servic	has been incor	No direct impact on service / service users – the budget has been incorporated into the financial provisions of the forthcoming tender for adult substance misuse treatment services.				
Actions needed to deliver the target savings	provision for c drugs, in sup	To reduce the Lancashire County Council budget provision for dispensing fees in relation to controlled drugs, in support of substance misuse treatment, primarily opiate substitution therapy.				
What are the risks associated with thi saving and how wil they be mitigated	s financial provis	None – the budget has been incorporated into the financial provisions of the forthcoming tender for adult substance misuse treatment services.				

### What does this service deliver?

Substance misuse services provide clinical and psychosocial treatment for adults with dependency on drugs and / or alcohol, including the prescription of maintenance and detox medications.

## ASC028 – LEARNING, DISABILITY & AUTISM RESIDENTIAL REVIEWS

Service Name:		0	Learning Disability and Autism Residential Reviews	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2018/19	
Gross budget 2017	/18*	£10	6.019m	
Income 2017/18*			1.906m	
Net budget 2017/18		£14	4.113m	
*LCC share of LD F	ooled Budget			
Savings Target and	l Profiling (discrete y	(oar):		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.045	-0.724	-0.257	-1.026	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	0.00	0.00	
Decisions needed t deliver the budgete savings	ed autism placed residential pack with an aim to Provide alterna more affordable offering suppor living in residen	Agree to review people with learning disabilities and autism placed in Care Quality Commission registered residential packages located both in and out of county with an aim to Provide alternative local accommodation services in a more affordable and cost effective way. Primarily by offering supported living vacancies to people currently living in residential care. There is currently a significant over-provision of		
Impact upon servic	accommodation represents a sig units of accomm and out of c	accommodationinsupportedlivingsettingswhichrepresents a significant cost to the Council as a result of units of accommodation standing empty.The number of residential placements both in Lancashir and out of countyplacements will reduce as		
	Lancashire) wit have been place residential acco Lancashire. The	ntly just under 270 j th a learning disabi ed in Care Quality Co ommodation located	beople (82 outside of lity and autism who ommission registered inside or outside of of these placements by is £6.933m)	

	<ul> <li>Many of these placements are deemed to be "high cost" and when looked at by independent consultants it was felt that in approximately 50% of the cases it may be possible to offer good alternative services at a lower and more affordable cost.</li> <li>Additional impacts are: <ul> <li>There may be resistance to change from service users, their families and some residential support providers to a potential move.</li> </ul> </li> <li>Some residential providers both in and outside Lancashire will lose business, but other local providers will gain new business if individuals move into their services. This will mean more of the council's spend on services will be in Lancashire rather than outside.</li> <li>Some residential providers may become financially unviable if people leave the service as they will no longer benefit from economies of scale which would</li> </ul>
Actions needed to deliver the target	<ul> <li>Consult with those potentially affected by the proposal, including service users, their families and</li> </ul>
savings	<ul> <li>providers.</li> <li>Undertake market analysis to identify gaps in local provision and develop a commissioning strategy to create local services.</li> </ul>
	• Review the needs of service users in residential care including those living outside Lancashire.
	• Develop and secure approval for a clear council policy framework for decision making in individual cases, ensuring appropriate stakeholder consultation.
	• Explore current vacancies in local supported living settings or other accommodation to identify the possibility of arranging for people to move to more local and appropriate alternatives.
	• A full equality analysis will need to be undertaken informed by the outcomes of the consultation. Cabinet will also need to consider the potential

	Human Rights implications where service users do not agree to move from their current accommodation.
What are the risks associated with this saving and how will they be mitigated	There are likely be some challenges by service users or their representative to any proposals to move to alternative accommodation. However, before any moves are proposed a full review/assessment of needs will be undertaken and discussed with service users, their family and any representatives.
	The Learning Disability Partnership Board made up of people with learning disabilities, unpaid carers, professionals and care providers have been consulted and are supportive of this proposal have been consulted and are broadly supportive of this proposal.
	The Local Housing / Residential Sector may not be able to deliver alternative accommodation. In order to mitigate this the local market will be alerted to future commissioning intentions to ensure that there is sufficient local provision.
	Service Providers may struggle to recruit staff in particular locations. Skills for Care have offered to support recruitment for care staff in Lancashire.

### What does this service deliver?

Residential care offers accommodation based support, usually in a large setting, with care shared between several residents. In some instances residential care is provided for people who may have conditions that require specialised care, which is available in limited settings, this was particularly likely where people have moved away from Lancashire. In some instances people have lived in residential settings since before supported living options were developed.

# Section 4

# Equality Analysis Toolkit

ASC028: Learning Disability & Autism (LDA) Residential reviews

# **For Decision Making Items**

January 2018



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### What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting:

Jeanette Binns (Equality and Cohesion Manager) at Jeanette.binns@lancashire.gov.uk

### Name/Nature of the Decision

Agree to review people with learning disabilities and autism placed in Care Quality Commission registered residential packages located both in and out of county with an aim to re-providing alternative, local accommodation services in a more affordable and cost effective way. Doing so would represent a cost saving as the Council is currently meeting the current costs of vacancies in supported living schemes.

There are currently just under 270 people in residential accommodation 82 outside Lancashire), the cost of the placements being £13.666m (of which £5.933m is out of County).

There are 173 vacant rooms in supported living, 60 of these attract void costs representing a total cost of £1.379m.

### What in summary is the proposal being considered?

To review/re-assess people placed in residential care with a view to offering them a community based setting, with particular focus on considering supported living vacancies. Many of these residential placements are deemed to be "high cost" and when looked at by independent consultants it was felt that in approximately 50% of the cases it may be possible to offer good alternative services at a lower and more affordable cost.

In some instances a move to local services and will offer an enhanced opportunity to ensure the health and well-being of those service users currently placed out of county as they can be more closely monitored if they are living in Lancashire using local services. It is nationally recognised, in published articles such as Mansell (2015) and the follow up report to the Winterbourne View enquiry 'Out of Sight', that out of area placements are not ideal as people are often distant from their families meaning visiting is more difficult, monitoring from home services is more complicated and less reliable, while safeguarding enquiries are managed by the local services, meaning that there can be inconsistency in managing risk and in the delivery of oversight. Local Authorities and the NHS are committed to avoiding out of area placements where possible, further to a government directive in April 2016 following the publication of '*Too Far to Go*'

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open. No

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

This will affect adults with learning disabilities & autism living in residential care placed both inside and outside Lancashire who are currently funded by LCC.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

### Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

There are currently just under 270 people (82 outside Lancashire) with a Learning Disability / Autism who have been placed in Residential Accommodation. This group is diverse, in respect of age, gender and complexity of disability.

### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

This group as a whole would be difficult to engage with due their dispersed locations. There will also be difficulties due to the nature of their learning disability and/or autism and consultation will therefore include families and/or advocates/representatives as necessary. Notwithstanding this difficulty all residents affected by this budget option will be written to for them and their carers to be given the opportunity to have a say on the budget option proposed.

The Learning Disability Partnership Board (LDPB), made up of people with learning disabilities, unpaid carers, professionals and care providers have been consulted

and are supportive of this proposal. There will be further consultation and if the option goes ahead regular progress reports given to the LDPB.

An engagement exercise was undertaken with local residential care and supported living providers in 2016 and was broadly supportive of the proposal, including changes being proposed further to individual reviews. Supported living providers were confident that they were able to support people to move to supported living and they were keen to develop services to meet the changing demands of the community. However, they remain concerned that the opportunities to grow their businesses are limited by the relatively small cohort of people that use their provision in comparison to older adults' services.

Meetings will take place with Lancashire residential providers who are likely that they will be concerned by the proposals as they represent a shift away from residential care although they can be supported to help them modernise services. Consultation would continue throughout the implementation process as provider network meetings take place every 6 weeks.

The Housing Delivery Plan detailed within *Valuing People Now (2010)* notes a National Government objective to reduce the number of people with learning disabilities living in residential care, promoting a greater emphasis on more cost effective approaches and community support models. Supported accommodation, presents opportunities for individuals such as tenants' rights, greater access to benefits, and sharing with fewer people than is usually available in residential care will be beneficial for people. There is a concern that the policy will compromise the viability of some smaller residential care homes locally if people move out.

### Question 3 – Analysing Impact

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in

mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities

- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

Moving home can have a significant emotional impact and for people with learning disabilities or autism that impact can be more significant due to cognitive impairments. Managing change can be particularly difficult for people with autistic spectrum disorders, this will be taken into account in care plans, ensuring sufficient time and adjustments are made to support any move.

People with learning disabilities and / or autism may need additional support to acclimatise to community settings and to become accustomed to new environments. Supported living means that the Council uses resources to fund care rather than buildings maintenance or utility costs, meaning resources will be utilised to fund individualised care enabling people to access the community, take part in activities and to become members of their local community.

People will however be inconvenienced by having to move, they may leave people with whom they have a good relationship, either staff or other residents which may be a significant issue for people with autism. Support for these relationships to continue will be encouraged from new settings and included in new care plans.

*'Building the Right Home'* guidance issued by NHS England, the Local Government Association and Association of Directors Adult Social Services as part of the Transforming Care Programme in 2016, details that people should be offered settled accommodation, residential care is not considered to be settled accommodation. In settled accommodation a person should be supported to live independently with an individual care and support package based on their needs and preferences. It is important that people have access to a variety of options to choose the accommodation that is right for them. Settled accommodation includes:

• Owner occupier/shared ownership schemes (where the tenant purchases a percentage of the home value from the landlord)

• Supported or sheltered accommodation, supported lodgings, or a supported group home

• Approved accommodation for offenders released from prison or under probation supervision (such as a probation hostel)

Settled mainstream accommodation with family/friends

• General needs accommodation e.g. Local Authority, registered housing provider, Housing Association, or a private landlord.

Supported tenancies are most often sited on ordinary streets in the community meaning that people will be more able to participate in the life of their neighbourhood, ideally encouraging potential new relationships and presence in the community.

### **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

#### If Yes – please identify these.

By moving people from residential care, the remaining care provision may become unviable, thereby other service users may find themselves in the position of having to move home, which may not be as easy or beneficial for them. Providers may be able to fill vacancies with people assessed as appropriate for residential care. The number of supported living vacancies are sufficient to meet any other people who may be affected. There are already existing vacancies in residential accommodation that can be utilised.

Residential care is well suited to people who need to move urgently, such as those people who are in hospital or whose family carers are suddenly unable to continue in their caring role, therefore by freeing up vacancies, the system will be more flexible to meet urgent need and respite care.

### **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

The activity will focus primarily with people who will experience most benefit, such as younger people and those with networks in the vicinity of Lancashire, as moving long distances may be more traumatic and may represent an unreasonable expectation with poorer overall outcomes.

### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

People who are offered a move to supported living will be given an introduction to the new setting, typically this will include meeting potential housemates and staff members, tea visits and overnight stays to minimise difficulties with adjustment to the move.

Relationships can be maintained through visits from friends to the new settings and back, similarly trips out and phone calls will be supported to ensure networks and relationships are maintained.

The impact on residential care settings will be mitigated by the utilisation of beds by people in urgent need, though this may not be sufficient to off-set the impact, meaning that some settings may close, and remaining residents moved, this will be managed as sensitively as possible, with some residents moving to other residential homes and some being reconsidered for supported living opportunities. All assessments and support plans will be delivered through person centred, strength based assessments.

Where it is not possible to support an unviable residential home, individual residents, family members and advocates will be involved in developing plans together with social workers and learning disability health professionals to develop support plans and move to a more sustainable setting.

### **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

Moving home may be difficult upsetting, confusing and difficult for individuals with learning disabilities and particularly so for those with autism. However, it is a familiar scenario to support providers who have experience in developing ways of managing situations to maximise involvement and confidence and minimise upset.

The longer term benefits of living in supported accommodation rather than in residential care will be advanced as people who live in supported living means:

- More access to welfare benefits in comparison to those in residential care, meaning there is greater opportunity to spend time away from the care setting, thereby having greater access to local community services.
- They will live in ordinary streets in the community meaning that people will be more able to participate in the life of their neighbourhood, ideally encouraging potential new relationships and presence in the community.

### Question 8 – Final Proposal

In summary, what is your final proposal and which groups may be affected and how?

To consult on the proposal to review the care packages of people with learning disabilities and autism who are currently supported in CQC registered residential care, with a view re-providing alternative local accommodation services in a more affordable and cost effective way where appropriate.

### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

This Equality Analysis will be updated following consultation and reported back to Cabinet for them to consider.

If the proposal is then agreed, implementation will be monitored through monthly reporting into governance board meetings within the County Council.

Progress will also be reported to provider network meetings and the LDPB.

Equality Analysis Prepared By Charlotte Hammond Position/Role Head of Service, Learning Disabilities, Autism and Mental Health Equality Analysis Endorsed by Line Manager and/or Service Head Decision Signed Off By Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Thank you

## CAS003 – CUSTOMER ACCESS SERVICE – OPERATING HOURS

Impact upon serviceThis could be seen as a withdrawal of service, howeve with agreement that professionals refer into the authority in a more structured way, and a review of the Emergency Duty Team it is very feasible. There would need to be considerable investment in the cultural and behavioura changes required from our partners and Social Work teams. The Multi Agency Safeguarding Hub (MASH model could also be impacted, however at this time they operate standard hours.Partners would need to agree to different ways o working and align to the authorities risk model Agreement that only emergencies would be handled a these times.The call volumes that Customer Access Service (CAS would no longer be handling would be picked up by the Emergency Duty Team (EDT) and would require a 2.50	Service Name:		Customer Access Service	
Income 2017/18         £0.035m           Net budget 2017/18         £3.818m           Savings Target and Profiling (discrete year):         2018/19         2019/20         2020/21         Total           £m         £m         £m         £m         £m           -0.170         0.000         0.000         -0.170           FTE implications:         2019/20         2020/21         Total           -6.50         0.00         0.00         -6.50           Decisions needed to deliver the budgeted savings         Agree to reduce the operating hours for the Custome Access Service Social Care and bring in line with the corporate service delivered (i.e. reduce Social Care opening times to 8:00 to 18:00 Mon to Fri, instead of 8:00 to 20:00 - 7 days a week).           Impact upon service         This could be seen as a withdrawal of service, howeve with agreement that professionals refer into the authority in a more structured way, and a review of the Emergency Duty Team it is very feasible. There would need to be considerable investment in the cultural and behavioura changes required from our partners and Social Worl teams. The Multi Agency Safeguarding Hub (MASH model could also be impacted, however at this time they operate standard hours.           Partners would need to agree to different ways o working and align to the authorities risk model Agreement that only emergencies would be handled a these times.           The call volumes that Customer Access Service (CAS would no longer be handling would be picked up by the Emergency Duty Team (EDT) and would requi			2018/19	
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Actions needed to deliver the target savings	<ul> <li>Define exact details of restructure and impact assess the proposal.</li> <li>Link to technology deliverable.</li> </ul>	
	Agree timescales and communicate out within the business, including any formal consultation needed	
	<ul> <li>Transfer resource (2.50 fte) from CAS establishment to EDT establishment.</li> <li>1.27 fte @ Grade 5</li> <li>1.23 fte @ Grade 4</li> </ul>	
	<ul> <li>Begin immediate re-enforcement of the 'emergency only' service delivered outside of core hours, driving down volumes of contacts.</li> </ul>	
What are the risks associated with this saving and how will they be mitigate	Ensuring the appetite and determination to drive the cultural changes required are in place. In order to mitigate this all key stakeholders will be engaged throughout the implementation of this change.	

#### 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.

## Section 4

# Equality Analysis Toolkit

Customer Access Service – Cash Saving Option CAS003

Reduction of operating hours within the Social Care area of Customer Access January 2018



www.lancashire.gov.uk

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### What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting:

Jeanette Binns (Equality and Cohesion Manager) at Jeanette.binns@lancashire.gov.uk

### Name/Nature of the Decision

Proposal to change the operating hours for the Social Care element of the Customer Access Service (CAS) to bring it in line with the other corporate services delivered through Customer Access. Citizens of Lancashire, partners, and other professionals are currently able to contact the authority through the CAS between 08:00 and 18:00 Monday to Friday. However, for enquiries relating to Social Care they are able to make contact through CAS between 08:00 and 20:00, 7 days a week. This proposal, if agreed, would result in a reduction of staff in CAS which would be managed in the first instance through vacancies and would follow the Lancashire County Council staffing consultation protocols.

### What in summary is the proposal being considered?

Changes to the operating hours for the Social Care element of the CAS to bring it in line with the other corporate services delivered through CAS. Citizens of Lancashire are currently able to contact the authority through the CAS between 08:00 and 18:00 Monday to Friday. However, for enquiries relating to Social Care they are able to make contact through CAS between 08:00 and 20:00, 7 days a week.

Currently, contacts regarding Social Care received into CAS during normal working hours (08:00 to 17:00 Monday to Friday), are triaged by the Customer Service Advisers (CSAs), who determine what action is needed working closely with the daytime Social Work teams who operate between 09:00 and 17:00 Monday to Friday. After 17:00 Monday to Friday and at the weekends these Social Work teams are not available and the County Council have an Emergency Duty Team (EDT) who respond to any emergency enquiries relating to Social Care. The Emergency Duty Team who work between 17:00 and 08:00 Monday to Friday and all day at weekends.

Between 17:00 to 20:00 Monday to Friday and 08:00 to 19:00 Saturday and Sunday, CAS answer the EDT telephone line and transfer/log emergencies to EDT. From 20:00 to 08:00 EDT answer the telephone line themselves. CAS is offering a duplicated service during the periods of 17:00 to 20:00 Monday to Friday and 08:00 to 19:00 at weekends which means there is a duplication of resource, both CSAs and managers, required. The proposal to standardise the operating hours of the CAS into 08:00 - 18:00 Monday to Friday would generate savings and yet the citizens of Lancashire would still be able to raise emergency Social Care issues as they do now.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

The proposal does not impact on any specific group. This proposal would affect all citizens of Lancashire experiencing a social care emergency. The effect could potentially be unnoticeable. The majority of contacts made into EDT are from other professionals and partner stakeholders (i.e. Police, NHS) who need to liaise with EDT directly.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above – e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

Although this proposal would affect all citizens of Lancashire the impact of the change, managed appropriately, would be seamless as this is the service already provided between 20:00 to 08:00 by EDT.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

The change would mean any citizens of Lancashire wanting to report an emergency social care situation would be able to speak directly to the team responsible for dealing with those situations. Providing the service is managed appropriately by the Emergency Duty Team, as is the current model between 20:00 and 08:00, the change would be seamless.

Question 1 – Background Evidence

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc. to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

The majority of these calls that are presented to the EDT telephone line come from professionals involved or working with service users; the police and care agencies being the most common of these. As these agencies are well versed in the processes outside of 'core' hours, often reporting similar incidents on a regular basis (e.g. reporting falls or being unable to locate a service user) they prefer to speak directly with the EDT in order to resolve the situation as quickly as possible. This would model the Children's Social Care line following changes made earlier this year, where professionals speak directly to Social Workers. This has led to a reduction in follow up calls and a reduction of inappropriate referrals. The screening role that Customer Access undertake can be seen as unnecessary and an added step that they need to go through. This proposal would result in less staff in CAS, and although EDT would need to review their resource pool there would still be net savings for the authority.

On average Monday to Friday CAS handle 18 calls each evening between 18:00 and 20:00 on behalf of EDT, and 90 calls each day at the weekend.

### **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when.

(Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

No engagement/consultation has taken place as no approval has been received to proceed with this cash savings option. The majority of calls received to report emergency Social Care situations are professionals including the Police and Care Agencies who are working during these periods and report situations on a regular basis. The service will not change for the user experience and instead of CAS answering the telephone 17:00 to 20:00 Monday to Friday and 08:00 to 19:00 Saturday and Sunday, EDT staff will take this on, in line with the model outside of these time periods.

### **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed

or modified in order to do so? Please identify any findings and how they might be addressed.

No specific group would be disadvantaged by the proposed changes as they would be applicable to all citizens of Lancashire. However the impact to staffing will need to be considered. This could also be a positive change as staff impacted would be offered to take up work patterns that are more work life balance friendly, particularly staff with caring responsibilities, staff who use public transport, etc, which would also have a positive impact on recruitment and retention.

### **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

Not anticipated.

### **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how –

For example: Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

Continuing with the original proposal. By working closely with the EDT, the transition should be invisible to service users.

### **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

Politically, this could be seen as a withdrawal of service. The communication of this change would need to be clear in that the service is not being withdrawn and that the EDT would still be dealing with emergency situations as normal. The success of this is dependent on the EDT managing the calls effectively and there should be engagement with other professional agencies to ensure they are referring into the authority in a more structured way. Work will be required with the EDT Head of Service to establish their resource needs and hand over - this could reduce the overall saving by approximately 2 FTE.

### **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The reason for this proposal is as a contribution to the cash savings programme for the authority. The savings will be generated by a reduction in the pool of team leaders and CSAs that cover at the times that EDT also have business support officers and managers covering.

### **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how?

Changes to the operating hours for the Social Care element of the CAS to bring it in line with the other corporate services delivered through Customer Access – 08:00 – 18:00 Monday to Friday. Removing the duplication in resources handling contacts between CAS and EDT.

No specific groups are affected as the service remains in place the change is to 'the team' delivering the service at these times.

### **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

The effects of this proposal will be reviewed on an ongoing basis in terms of the performance of the EDT as well as feedback from key partners, i.e. Police, Health, etc.

Equality Analysis Prepared By - Terry White Position/Role - Customer Service Manager

Equality Analysis Endorsed by Line Manager and/or Service Head- Sarah Jenkins Decision Signed Off By Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Thank you

## CAS006 – CUSTOMER ACCESS SERVICE – PROFESSIONAL REFERRALS

Service Name:			Customer Access Service – Professional Referrals	
Which 'start year' does this option relate to 2018/19, 2019/20 or 2020/21		20	2020/21	
Gross budget 2017/	18	£3	3.853m	
Income 2017/18			).035m	
Net budget 2017/18		£3	3.818m	
Savings Target and	Profiling (discrete y	oar).		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
0.000	0.000	-0.140	-0.140	
FTE implications:				
2018/19	2019/20	2020/21	Total	
0.00	0.00	-7.00	-7.00	
savings	Children's Socia by telephone. In the statutory le information is of percentage of Customer Accor receiving repeat are for CAS onl	Currently professionals refer to both Adults and Children's Social Care using a variety of forms and also by telephone. Inappropriate referrals which do not meet the statutory levels are often received and mandatory information is often excluded. This results in a high percentage of work being stepped down and both Customer Access Service (CAS) and Social Care receiving repeat calls and emails. The savings illustrated are for CAS only and do not include potential savings in the Social Work teams.		
Impact upon servic	improve the co stakeholders, w referrals into ou the Multi Agency the time to re	This proposal in addition to creating savings, would improve the collaboration between key partners and stakeholders, working to agreed thresholds, and e- referrals into our electronic systems. This would support the Multi Agency Safeguarding Hub (MASH) models and the time to react to situations our most vulnerable families find themselves in.		
Actions needed to deliver the target savings	proposal.	t details of restructure and impact assess the nology that can help delivery.		

	technological solution. Engagement with other agencies during this phase would be key. Even with a robust pre-implementation plan a period of snagging would be required to ensure the solution is working as expected for both the customer and Lancashire County Council and that referrals are being received as expected.
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#### 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:

- 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.

# Section 4

# Equality Analysis Toolkit

Customer Access Service – Cash Savings Option CASoo6

Implementation of Social Care Professional Self Service Portal

January 2018

County Council

www.lancashire.gov.uk

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### What is the Purpose of the Equality Decision-Making Analysis?

The Analysis is designed to be used where a decision is being made at Cabinet Member or Overview and Scrutiny level or if a decision is being made primarily for budget reasons. The Analysis should be referred to on the decision making template (e.g. E6 form).

When fully followed this process will assist in ensuring that the decision- makers meet the requirement of section 149 of the Equality Act 2010 to have due regard to the need: to eliminate discrimination, harassment, victimisation or other unlawful conduct under the Act; to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

Having due regard means analysing, at each step of formulating, deciding upon and implementing policy, what the effect of that policy is or may be upon groups who share these protected characteristics defined by the Equality Act. The protected characteristic are: age, disability, gender reassignment, race, sex, religion or belief, sexual orientation or pregnancy and maternity – and in some circumstance marriage and civil partnership status.

It is important to bear in mind that "due regard" means the level of scrutiny and evaluation that is reasonable and proportionate in the particular context. That means that different proposals, and different stages of policy development, may require more or less intense analysis. Discretion and common sense are required in the use of this tool.

It is also important to remember that what the law requires is that the duty is fulfilled in substance – not that a particular form is completed in a particular way. It is important to use common sense and to pay attention to the context in using and adapting these tools.

This process should be completed with reference to the most recent, updated version of the Equality Analysis Step by Step Guidance (to be distributed ) or EHRC guidance at

http://www.equalityhumanrights.com/private-and-public-sector-guidance/public-sector-providers/public-sector-equality-duty

This toolkit is designed to ensure that the section 149 analysis is properly carried out, and that there is a clear record to this effect. The Analysis should be completed in a timely, thorough way and should inform the whole of the decision-making process. It must be considered by the person making the final decision and must be made available with other documents relating to the decision.

The documents should also be retained following any decision as they may be requested as part of enquiries from the Equality and Human Rights Commission or Freedom of Information requests.

Specific advice on completing the Equality Analysis and advice, support and training on the Equality Duty and its implications is available from the County Equality and Cohesion Team by contacting:

Jeanette Binns (Equality and Cohesion Manager) at Jeanette.binns@lancashire.gov.uk

### Name/Nature of the Decision

To implement a Self Service Portal that will allow professionals and other key partners to make referrals into Social Care for assessments and support for the citizens of Lancashire, including Early Help services and Safeguarding Adults – all of whom we receive referrals from in a variety of inconsistent sources. This will be a digital service that will replace the paper-based referrals currently received and reduce the additional time and effort required to manage these.

This proposal, if agreed, would see a reduction in staff within CAS which could be up to 7 FTE. This would be managed through vacancies and using the LCC consultation protocols, including redeployment arrangements where applicable.

### What in summary is the proposal being considered?

To implement a Self Service Portal that will allow professionals to make referrals into Social Care for assessments and support for the citizens of Lancashire. Currently professionals will refer into both Adults and Children's Social Care using a variety of forms or via telephone. This can result in inappropriate referrals which do not meet the statutory levels for support or referrals which contain insufficient information that require extensive information gathering from both Customer Access Service (CAS) and Adults / Children's Social Care. This can be a time consuming, and as a result, costly process.

This proposed change will be a huge benefit to Lancashire County Council, resulting in professionals referring consistently to the agreed thresholds. Implementing a robust self-service pathway for professionals and only accepting referrals via this method would reduce the contact capacity within Customer Access significantly. Initial investment would be required to implement a robust self-service option but this would align to the corporate digital strategy and generate ongoing savings. The referrals in the main could be presented directly to the Social Work teams with the confidence that they contain sufficient details.

This proposal, in addition to creating savings, would improve the collaboration between key partners and stakeholders while working to agreed thresholds. It would support the MASH models and the time to react to situations our most vulnerable families find themselves in.

Is the decision likely to affect people across the county in a similar way or are specific areas likely to be affected – e.g. are a set number of branches/sites to be affected? If so you will need to consider whether there are equality related issues associated with the locations selected – e.g. greater percentage of BME residents in a particular area where a closure is proposed as opposed to an area where a facility is remaining open.

The proposal would affect people in the same way as it would be a standard referral pathway for all professionals wishing to make referrals into Lancashire's Social Care services.

Could the decision have a particular impact on any group of individuals sharing protected characteristics under the Equality Act 2010, namely:

- Age
- Disability including Deaf people
- Gender reassignment
- Pregnancy and maternity
- Race/ethnicity/nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership Status

In considering this question you should identify and record any particular impact on people in a sub-group of any of the above - e.g. people with a particular disability or from a particular religious or ethnic group.

It is particularly important to consider whether any decision is likely to impact adversely on any group of people sharing protected characteristics to a disproportionate extent. Any such disproportionate impact will need to be objectively justified.

If you have answered "Yes" to this question in relation to any of the above characteristics, – please go to Question 1.

If you have answered "No" in relation to all the protected characteristics, please briefly document your reasons below and attach this to the decision-making papers. (It goes without saying that if the lack of impact is obvious, it need only be very briefly noted.)

The proposed change would not have a direct impact on any of the protected characteristics although engagement from professionals would be required in order to ensure that no group are indirectly impacted.

This proposal will be positive in terms of responding to referrals for service users, as this will speed up the process, and will also benefit from key facts and information being a mandatory element of the form. In terms of professionals using the new portal, guidance will be given on any new system as part of its implementation. Also, in scoping for the new technology, consideration will be given to compatibility of any new system with assistive technology used by disabled employees – e.g. equipment

used by visually impaired, dyslexic or other employees would need, wherever possible, to function with any new system.

# **Question 1 – Background Evidence**

What information do you have about the different groups of people who may be affected by this decision – e.g. employees or service users (you could use monitoring data, survey data, etc to compile this). As indicated above, the relevant protected characteristics are:

- Age
- Disability including Deaf people
- Gender reassignment/gender identity
- Pregnancy and maternity
- Race/Ethnicity/Nationality
- Religion or belief
- Sex/gender
- Sexual orientation
- Marriage or Civil Partnership status (in respect of which the s. 149 requires only that due regard be paid to the need to eliminate discrimination, harassment or victimisation or other conduct which is prohibited by the Act).

In considering this question you should again consider whether the decision under consideration could impact upon specific sub-groups e.g. people of a specific religion or people with a particular disability. You should also consider how the decision is likely to affect those who share two or more of the protected characteristics – for example, older women, disabled, elderly people, and so on.

Different professional agencies use their own forms / methods of referring into Adult Social Care and in many cases, Children's Social Care. Often the forms used are not fit for purpose as they do not contain mandatory information and require outbound calls to be made in order to gather additional information. As the professionals who are making these referrals are also handling their own case work they are not always readily available to provide the missing information, which at times adds further delays into the process and getting the referral to the appropriate Social Work team.

Lancashire Constabulary use their own system to refer into Social Care, as do the Northwest Ambulance Service. The NHS use a variety of paper based forms, from hospital discharges to ordering occupational therapy equipment which are often handwritten and sometimes difficult to translate. These all require deciphering and manually rekeying into the Lancashire County Council Social Care systems (Liquid Logic).

Carer's services also use paper forms as do housing associations and care agencies. None of the forms align to the Liquid Logic systems and are based on the information they presume is relevant to provide, not the information that Social Care services require.

GPs will write to request an assessment of a person without any details of the reasons for the referral and without the person's consent. This can result in inappropriate and unwanted referrals which are time consuming and result in repeat contacts into Customer Access.

The proposal could result in an improved service for the public as outcomes from referrals might be speeded up. Given that these are social care related referrals the age (younger and older people) disabled people and pregnancy and maternity protected characteristics could be expected to be the most affected as they are more likely to be recipients of social care.

# **Question 2 – Engagement/Consultation**

How have you tried to involve people/groups that are potentially affected by your decision? Please describe what engagement has taken place, with whom and when. (Please ensure that you retain evidence of the consultation in case of any further enquiries. This includes the results of consultation or data gathering at any stage of the process)

Limited prior engagement with various agencies has occurred previously at an operational level and there was some resistance to change.

However agreement would be needed by the associated safeguarding boards for both Adults and Children and following this arrangements for consultation could be defined.

Some agencies would welcome the change as it would be more efficient for them and it would align to the digital transformation of all organisations.

Prior to any consultation with external stakeholders, the Adult and Children services will need to work closely with BTLS, Core Systems and the Web team to design an e-referral form, which aligns to Liquid Logic. Work is already taking place regarding the Early Help models (including systems) – this proposal would also need consideration at this the board for this project.

# **Question 3 – Analysing Impact**

Could your proposal potentially disadvantage particular groups sharing any of the protected characteristics and if so which groups and in what way?

It is particularly important in considering this question to get to grips with the actual practical impact on those affected. The decision-makers need to know in clear and specific terms what the impact may be and how serious, or perhaps minor, it may be – will people need to walk a few metres further to catch a bus, or to attend school? Will they be cut off altogether from vital services? The answers to such questions must be fully and frankly documented, for better or for worse, so that they can be properly evaluated when the decision is made.

Could your proposal potentially impact on individuals sharing the protected characteristics in any of the following ways:

- Could it discriminate unlawfully against individuals sharing any of the protected characteristics, whether directly or indirectly; if so, it must be amended. Bear in mind that this may involve taking steps to meet the specific needs of disabled people arising from their disabilities
- Could it advance equality of opportunity for those who share a particular protected characteristic? If not could it be developed or modified in order to do so?
- Does it encourage persons who share a relevant protected characteristic to participate in public life or in any activity in which participation by such persons is disproportionately low? If not could it be developed or modified in order to do so?
- Will the proposal contribute to fostering good relations between those who share a relevant protected characteristic and those who do not, for example by tackling prejudice and promoting understanding? If not could it be developed or modified in order to do so? Please identify any findings and how they might be addressed.

No specific group would be impacted directly by the proposed change but engagement throughout with all partners and professional referrers would be required to ensure that groups with protected characteristics are not indirectly impacted. If an organisation were to be resistant towards the adopted referral pathway it could lead to a delay in the referral of a service user.

Consideration is needed regarding the authorities Public Sector Equality Duty (PSED) and relating this to the scope of any associated technology.

# **Question 4 – Combined/Cumulative Effect**

Could the effects of your decision combine with other factors or decisions taken at local or national level to exacerbate the impact on any groups?

For example - if the proposal is to impose charges for adult social care, its impact on disabled people might be increased by other decisions within the County Council (e.g. increases in the fares charged for Community Transport and reductions in respite care) and national proposals (e.g. the availability of some benefits). Whilst LCC cannot control some of these decisions, they could increase the adverse effect of the proposal. The LCC has a legal duty to consider this aspect, and to evaluate the decision, including mitigation, accordingly.

If Yes – please identify these.

There are no known issues that might combine with this proposed change to have a cumulative effect but each agency will have their own technology roadmap and their plans may clash with this. It is important that from a strategic level that Lancashire County Council are clear in what the requirements are for referring someone for one of their services.

# **Question 5 – Identifying Initial Results of Your Analysis**

As a result of your analysis have you changed/amended your original proposal? Please identify how –

For example:

Adjusted the original proposal – briefly outline the adjustments Continuing with the Original Proposal – briefly explain why Stopped the Proposal and Revised it - briefly explain

Continuing with the original proposal. The proposal would require an extensive scoping exercise and the design and development of a technological solution. Engagement with other agencies during this phase would be key.

Even with a robust pre-implementation plan a period of snagging would be required to ensure the solution is working as expected for both the customer and Lancashire County Council and that referrals are being received as expected.

# **Question 6 - Mitigation**

Please set out any steps you will take to mitigate/reduce any potential adverse effects of your decision on those sharing any particular protected characteristic. It is important here to do a genuine and realistic evaluation of the effectiveness of the mitigation contemplated. Over-optimistic and over-generalised assessments are likely to fall short of the "due regard" requirement.

Also consider if any mitigation might adversely affect any other groups and how this might be managed.

Although this should be seen as a step forward into the digital era there will undoubtable be some resistance to change at an operational level within different organisations, particularly large organisations such as the NHS which have multiple departments and complex communication requirements. It is essential that buy in is received at the appropriate level for not only the acceptance of the change but also of the need to ensure the change is fully adopted throughout the organisation. They will need the appetite and vision to see the positive impact pan-Lancashire not just for Lancashire County Council.

As the change would not affect non-professionals there would be limited political implications from the general public and they would still be able to request help and support from all access channels.

The impact to staff who currently key the referrals into the system – the first option is to manage this through vacancies, using the LCC consultation protocols and redeployment arrangements where applicable.

Consideration for guidance and support of professionals and other stakeholders who will be referring through this channel to ensure that the experience is positive and all mandatory data is collected through the on line form.

# **Question 7 – Balancing the Proposal/Countervailing Factors**

At this point you need to weigh up the reasons for the proposal – e.g. need for budget savings; damaging effects of not taking forward the proposal at this time – against the findings of your analysis. Please describe this assessment. It is important here to ensure that the assessment of any negative effects upon those sharing protected characteristics is full and frank. The full extent of actual adverse impacts must be acknowledged and taken into account, or the assessment will be inadequate. What is required is an honest evaluation, and not a marketing exercise. Conversely, while adverse effects should be frankly acknowledged, they need not be overstated or exaggerated. Where effects are not serious, this too should be made clear.

The reason for this proposal is as a contribution to the cash savings programme for the authority. The savings will be generated by a reduction in the pool of CSAs that currently re-key email/other referrals from professionals and other key partners, and also reduce the time spent trying to retrieve mandatory information missing from the referrals.

Providing the change is carefully managed the impact on the citizens of Lancashire could be minimal and it would be viewed as a progressive step towards Lancashire County Council's digital agenda.

# **Question 8 – Final Proposal**

In summary, what is your final proposal and which groups may be affected and how?

To implement a Self Service Portal that will allow professionals to make referrals into Social Care for assessments and support for the citizens of Lancashire. This will be a digital service that will replace the paper-based/email referrals currently received and reduce the additional time and effort required to manage these.

# **Question 9 – Review and Monitoring Arrangements**

Describe what arrangements you will put in place to review and monitor the effects of your proposal.

The effects of this proposal will be reviewed on an ongoing basis in terms of the take up from each agency, the volume of referrals received and the need for additional information gathering required. The performance of Customer Access would also be assessed against previous performance in this area to ensure the proposed financial and staffing benefits are realised.

Equality Analysis Prepared By - Terry White Position/Role - Customer Service Manager

Equality Analysis Endorsed by Line Manager and/or Service Head – Sarah Jenkins Decision Signed Off By Cabinet Member or Director

Please remember to ensure the Equality Decision Making Analysis is submitted with the decision-making report and a copy is retained with other papers relating to the decision.

For further information please contact Jeanette Binns – Equality & Cohesion Manager Jeanette.binns@lancashire.gov.uk

Thank you

# CAS007 – CUSTOMER ACCESS SERVICE – INTERNAL ASK HR SELF SERVICE

Service Name:			Customer Access Service – Internal Ask HR Self Service	
Which 'start year' do relate to 2018/19, 20	-	20	18/19	
Gross budget 2017/	18	£3.	853m	
Income 2017/18			035m	
Net budget 2017/18		£3.	818m	
Savings Target and	Profiling (discrete y	ear):		
		,		
2018/19	2019/20	2020/21	Total	
£m	£m	£m	£m	
-0.174	0.000	0.000	-0.174	
FTE implications:	0040/00	0000/04	<b>T</b> . ( . )	
2018/19	2019/20	2020/21	Total	
-7.00	0.00	0.00	-7.00	
Decisions needed to deliver the budgeted savings	I customers for As The Ask HR s agreement (95 generated entir Council employe 35% from sch corporate eleme guidance and generate saving 2016/17 84k call 54K were mad enquiries were a	sk HR. service has the high calls answere rely from internal ees, 65% regarding nools. Enforcing s ent, facilitated through swithin the Custome s were made to the s were made to the by LCC staff. A also received.	ghest service level ed) with contacts Lancashire County corporate HR and elf-service for the gh improved online managers would er Access Service. In Ask HR line, of these further 43K email	
Impact upon service	Customer Acc implementation. change for La reminded to use This transition c within CA, suppo design and re-l would commun	If managed in line with the other options proposed to Customer Access Service and the technolog implementation. This approach will require cultur change for Lancashire County Council staff to to reminded to use the Intranet at the first point of contact This transition could be supported by the Web Chat to within CA, supporting users to navigate. Initial work to re design and re-build resources would be required a would communication and engagement with a Lancashire County Council employees.		

<ul> <li>savings</li> <li>friendly self-service options, the information and guidance is clear, and related transactions can be completed at information source within the intranet. Users should be able to track the progress of their transaction electronically, for example job advert executed, new post set up etc.</li> <li>Communication to all staff</li> <li>Introduction of Web Chat to transition self -service in a supported manner.</li> <li>The 'HR Front Door Board' would need to be refocused to scope the work needed to, the technology, it may be appropriate to pilot the approach on one of the frequently asked topics, - i.e. queries around pay or leave. Board members previously included representation from Corporate HR, BTLS, CAS and Core systems.</li> <li>What are the risks associated with this saving and how will they be mitigated</li> <li>Ensuring that the relevant aspects of the intranet is fit for purpose</li> <li>Agreeing a process for progressing exceptions</li> <li>Ensure that the proposal is only implemented with the dependencies</li> <li>The reliance on option delivering the savings should not be underestimated, if the technology, guidance and self-service tools are not simple and innovative, users will find workarounds which could result in additional work for other teams, BTLS and Corporate HR. This option will need to involve training for managers, and buy in from Executive Directors to be accountable through their Directors and Heads of Service. The flows between the self-service information and guidance will need to be seamless between the policies managed by Corporate HR and the transactions managed by BTLS, with an end to end review of key tasks undertaken by managers, recruit a new member of staff, set up the appropriate system logins, and refer to OHU etc.</li> </ul>	Actions needed to deliver the target	• Agreement from HR Services (Corporate and BTLS). The intranet would need to be updated to enable user
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## 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:

- 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.
- 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.

# Agenda Item 4

# Meeting of the Full Council Meeting to be held on Thursday, 8 February 2018

Report submitted by: Head of Legal and Democratic Services

Part A

Electoral Division affected: (All Divisions);

#### **Report of the Audit, Risk and Governance Committee - Treasury Management Policy and Strategy 2018/19** (Annex 1 refers)

Contact for further information:

Angie Ridgwell, Tel: (01772) 536260, Interim Chief Executive and Director of Resources, angie.ridgwell@lancashire.gov.uk

# Executive Summary

The recommendation of the Audit, Risk and Governance Committee in respect of the Treasury Management Policy and Strategy 2018/19.

## Recommendation

Full Council is recommended to approve the Treasury Management Policy and Strategy 2018/19 as set out at Annex 1.

# Background and Advice

At its meeting on 29 January 2018, the Audit, Risk and Governance Committee considered a report setting out the Treasury Management Policy and Strategy for 2018/19. The Committee agreed to recommend the approval of the Policy and Strategy to Full Council as set out in the report which was presented to the Committee. A copy of that report is set out at Annex 1.

## Consultations

N/A

## Implications:

This item has the following implications, as indicated:



## **Risk management**

N/A

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

PaperDateContact/TelAgenda and Minutes of the<br/>Audit, Risk and Governance<br/>Committee29 January 2018Dave Gorman/(01772)<br/>534261

Reason for inclusion in Part II, if appropriate

N/A

## Audit, Risk and Governance Committee

Meeting to be held on Monday, 29 January 2018

Electoral Division affected: (All Divisions);

# **Treasury Management Policy and Strategy 2018/19**

(Appendices 'A' and 'B' refer)

Contact for further information: Angie Ridgwell, Tel: (01772) 536260, Interim Chief Executive and Director of Resources angie.ridgwell@lancashire.gov.uk

## **Executive Summary**

This report proposes the Treasury Management Policy and Strategy for 2018/19 as required by the Chartered Institute of Public Finance and Accountancy (CIPFA) Treasury Management Code of Practice (2011). It includes the county council's borrowing and investment strategies and the proposed Minimum Revenue Provision policy, together with the treasury management prudential indicators which seek to ensure that the council's borrowing levels remain both sustainable and affordable.

#### Recommendation

That the Committee recommends that Full Council approves the Treasury Management Policy and Strategy for 2018/19 set out at Appendix 'A' and 'B' respectively.

## Background and Advice

Treasury management is the management of the council's investments and cash flows, its banking, money market and capital market transactions; it also includes the effective control and management of the risks associated with these activities, ensuring that the council gets the best performance for the least risk. The overarching policy is set out at Appendix 'A'.

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

The Minimum Revenue Provision (MRP) is a prudent charge Local Authorities are required to make to the revenue account to provide for the repayment of debt and other credit liabilities (mainly finance leases or PFI contracts).



The strategy includes the county council's policy in relation to the MRP, together with the treasury management prudential indicators which seek to ensure that the council's borrowing levels remain both sustainable and affordable.

Although the impact of treasury management decisions are considered over the long term, the CIPFA and DCLG codes require that the strategies are approved annually. The key changes in the proposed 2018/19 Treasury Management Strategy are:

- The operational limit of investments has been reduced to reflect the forecast reduction in reserves held by the county council.
- The limits for the approved counter parties included in the investment strategy have been reduced accordingly.
- The investment strategy proposes allowing investment in credit and multiasset funds. This is in line with the aim of increasing the diversification of investments held.

## Consultations

Arlingclose, the county council's external treasury management advisers have been consulted on specific elements described in the strategy document.

## Implications:

This item has the following implications, as indicated:

### Risk management

The council, having adopted the "Prudential Code", is required to prudently manage its investments and borrowing. A failure to do so could expose the council to undue risks.

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

Paper	Date	Contact/Tel
CIPFA Treasury Management Code of Practice	2011	Paul Dobson/ (01772) 534740

Reason for inclusion in Part II, if appropriate

N/A

# **Treasury Management Policy Statement**

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

## Definition

The council defines its treasury management activities as:

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

#### Risk Appetite

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

#### Risk management

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

#### Value for money

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

## Borrowing policy

The council aims to fund its capital expenditure in a cost effective manner. This will involve using short term and variable rate loans when these are seen as being the most beneficial strategy. However consideration will be given to long term funding needs and the stability to budgets that fixed interest loans provide. The council will also periodically evaluate debt restructuring opportunities of the existing portfolio.

The council will set an affordable borrowing limit each year in compliance with the *Local Government Act 2003*, and will have regard to the *CIPFA Prudential Code for Capital Finance in Local Authorities 2011* when setting that limit. It will also set limits on its exposure to changes in interest rates and limits on the maturity structure of its borrowing in the treasury management strategy report each year. The council also has regard to other relevant CIPFA publications such as the *Treasury Risk Toolkit for Local Authorities 2012* and *Using Financial Instruments to Manage Risk 2013*.

#### Cash Backing of Reserves

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

#### Investment policy

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

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

# **Treasury Management Strategy 2018/19**

Under the Local Government Act 2003, local authorities must have regard to statutory proper practices in their treasury management activities. In effect this means the council must adhere to the Chartered Institute of Public Finance and Accountancy's 'Treasury Management in the Public Services: Code of Practice' 2011 edition (the CIPFA Code), and the Department for Communities and Local Government (DCLG) guidance on local authority investments.

The CIPFA code requires the county council to approve a Treasury Management Strategy and the DCLG guidance requires an investment strategy to be approved before the start of each financial year.

Both regulations are potentially subject to change and at the time of writing a revised version of both codes has been published.

The strategy also has regard to other CIPFA treasury management publications such as in relation to risk management in the 'Treasury Risk Toolkit for Local Authorities' (2012), and the use of derivatives in 'Using Financial Instruments to Manage Risk' (2013.) The council is also required to publish a policy on its Minimum Revenue Provision (MRP). This does not need to form part of the Treasury Management Strategy, but as it impacts on treasury management activity it is published as part of this report.

As such, in line with these various requirements, this strategy includes:

- Borrowing Strategy
- Policy on Borrowing in Advance of Need
- Investment Strategy
- Policy on Use of Financial Derivatives
- Prudential Indicators (Annex A)
- MRP statement (Annex B)

In conjunction with the detailed treasury management practices approved by the section 151 officer, the strategy provides the policy framework for the engagement of the council with financial markets in order to fund its capital investment programme, to maintain the security of its cash balances and protect them from credit, liquidity, inflation and interest rate risk.

## Strategic Objectives of the Treasury Management Strategy

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

- a) To ensure the security of the principal sums invested which represent the county council's various reserves and balances.
- b) To ensure that the county council has access to cash resources as and when required.

- c) To minimise the cost of the borrowing required to finance the county council's capital investment programme, and manage interest and inflation rate risks appropriately.
- d) To maximise investment returns commensurate with the county council's policy of minimising risks to the security of capital and its liquidity position.

## Setting the Treasury Management Strategy for 2018/19

In setting the treasury management strategy, the council must consider the following factors which will have a strong influence over the appropriateness of treasury management plans:

- economic forecasts;
- prospects for interest rates;
- the current structure of the council's investment and debt portfolio;
- estimates of future borrowing and investment requirements.

#### Economic Forecast

The forecast economic conditions include an expectation that growth in the next few years will be low. Negotiations on the UK exit from the European Union and future trade relations is causing uncertainty. The progress and final outcome of these negotiations may impact on economic growth not only in 2018/19 but also in future years. In his budget in November 2017, the Chancellor of the Exchequer announced forecasts of growth which were significantly less than those given in the budget of spring 2017. The forecast was as follows:

	November 2017 Budget	Spring Budget
2017/18	1.5%	1.8%
2018/19	1.4%	1.6%
2019/20	1.3%	1.8%
2020/21	1.5%	1.9%
2021/22	1.5%	2.0%

Inflation increased during 2017 with the Consumer Price Index (CPI) rising to 3.0% in September. This was largely as a result of the impact of the fall in the value of sterling following the Brexit decision but it is anticipated that inflation will fall from this position. The forecast CPI in the Chancellor's budget was as follows:

2017/18	3.0%
2018/19	2.2%
2019/20	1.8%
2020/21	2.0%
2021/22	2.0%

With inflation increasing and unemployment remaining low during 2017/18 the Bank of England believed that the extent of spare capacity in the economy seemed limited and the pace at which the economy could grow without generating inflationary pressure had fallen over recent years. Therefore the Monetary Policy Committee of the Bank of England concluded that a rise in interest rates was appropriate. In

November 2017 they raised the base rate for the first time in a decade with the base rate increasing from 0.25% to 0.50%

Looking forward, the forecast from the Council's treasury advisers, Arlingclose, is for UK Bank Rate to remain at 0.50% during 2018/19. The Monetary Policy Committee emphasised that any prospective increases in Bank Rate would be expected to be at a gradual pace and to a limited extent.

Future expectations for higher, short term, interest rates are subdued with on-going decisions remaining data-dependant and negotiations on exiting the EU casting a shadow over monetary policy decisions. The risks to the Arlingclose forecast are broadly balanced on both sides.

## The Current Structure of the Portfolio

The council's treasury portfolio (net of transferred debt) as at 30th November 2017 was as follows.

	£m	Interest Rate
Call accounts	25.030	0.15%
Local authority deposits	82.800	1.23%
Government, local government and supra-national bonds	170.140	1.41%
Corporate bonds	194.130	0.80%
Total Investments	472.100	
Short term loans	462.000	0.68%
Shared investment scheme	79.130	0.25%
Long term loans - local authorities	97.500	1.61%
Long term loans - PWLB	338.850	3.07%
Long term loans – LOBO	50.000	6.16%

Net Borrowing	555.380	

1,027.480

The average rate for borrowing in 2018/19 included in the current Medium Term Financial Strategy (MTFS) of the council is 1.84% and the average rate of return on investments is 1.15%.

## Forecast Position

Total Borrowing

In the medium term the council borrows for capital purposes only. The underlying need to borrow for capital purposes is measured by the Capital Financing Requirement (CFR), while usable reserves and working capital are the underlying resources available for investment. The table below compares the estimated CFR to the debt which exists at 30 November, adjusted for transferred debt. This gives an indication of the borrowing required. It also shows the estimated resources available for investment. An option is to use these balances to finance the expenditure rather than investing, often referred to as internal borrowing, so the table gives an indication of the minimum borrowing requirement through this method.

	31/3/2018	31/3/2019	31/3/2020	31/3/2021
	£m	£m	£m	£m
Capital Financing Requirement	1,060.298	1,104.375	1,111.017	1,080.851
Less other long term liabilities	157.300	151.200	145.100	139.000
Borrowing CFR	902.998	953.175	965.917	941.851
Less external borrowing	787.936	383.775	343.062	146.162
Borrowing requirement	115.062	569.400	622.855	795.689
Reserves and working capital	(398.984)	(293.532)	(250.867)	(247.367)
Borrowing/(investment) need	(283.922)	275.868	371.988	548.322

The CFR forecast in the table above includes the latest forecast of the funding of the approved Capital Programme. The programme assumes expenditure funded by borrowing of:

2017/18 £84.718m 2018/19 £73.609m 2019/20 £38.644m 2020/21 £ 3.455m

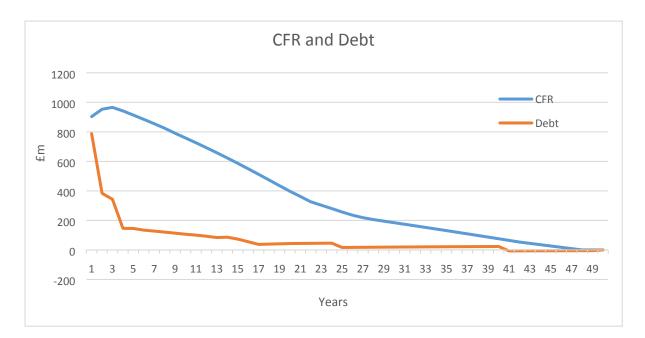
Clearly, these will be subject to change as the capital programme develops.

The table shows that from 2018/19 onwards the council has a borrowing requirement even if it followed a policy of internal borrowing. However, the council has in recent years pursued a policy to hold as investments a sum as close as possible to the cash value of its balance sheet. Consideration is also given to matching the duration of the cash balance anticipated. This policy will continue in 2018/19 but it will be regularly reviewed to ensure value for money is achieved.

# **Borrowing Strategy**

The borrowing strategy will be determined by the need for the council to borrow and the impact of the economic climate on the prevailing cost and availability of borrowing.

The council borrows for capital purposes with the underlying need to borrow for capital purposes being measured by the Capital Financing Requirement (CFR). CIPFA's Prudential Code for Capital Finance in Local Authorities recommends that the council's total debt should be lower than its highest forecast CFR over the next three years. The council has a borrowing requirement over the next three years, however in assessing the need to borrow consideration is given to the requirement to borrow for the longer term. The graph below compares the estimated CFR given the capital programme, MRP policy and the debt maturity position at 30 November 2017.



The graph demonstrates that there is a need to borrow over the long term although the amount required reduces over time. There is a large requirement in the early years. This is due to the impact of new capital schemes in the programme and the need to replace existing debt as the council has followed a policy of taking short term loans to take advantage of existing market conditions. In addition to the borrowing for capital there is likely to be borrowing requirements for the shared investment scheme, City Deal and premiums which are outside the CFR.

The council's borrowing strategy continues to balance the issues of affordability while ensuring the borrowing needs are met and providing some certainty of cost over the long term.

With short-term interest rates currently lower than long-term rates, it has been more cost effective in the short-term to borrow short-term. Given the economic outlook, significant increases in interest rates are not forecast in the medium term so this situation is likely to continue. However, there is significant economic uncertainty and rates are at historically low levels. Therefore the benefits of short-term borrowing will be monitored regularly against the potential for incurring additional costs by deferring borrowing into future years when long-term borrowing rates may rise. As a result the council may borrow additional sums at long-term fixed rates in 2018/19 with a view to keeping future interest costs low, even if this causes additional cost in the short-term.

There are a range of options available for borrowing in 2018/19:

- Variable rate borrowing is expected to be cheaper than fixed rate long term borrowing and will be attractive during the financial year, particularly as variable rates are closely linked to bank rates.
- Under 10 years rates are expected to be lower than long term rates, so this opens up a range of choices that may allow the council to spread maturities away from a concentration on long dated debt.

- Additionally, although it is not felt appropriate at this time, borrowing can be achieved through the issuance of a 'commercial paper', euro medium term note (EMTN).
- There is also the option to add the LGA's Municipal Bond Agency to the council's list of approved borrowing counterparties but this would be subject to further approval from a meeting of Full Council.

Against this background, the section 151 officer will, in conjunction with the council's advisers, monitor the interest rate situation closely and will adopt a pragmatic approach to delivering the objectives of this strategy within changing economic circumstances. All decisions on whether to undertake new or replacement borrowing to support previous or future capital investment will be subject to evaluation against the following criteria:

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

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

## Sources of borrowing

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

- Public Works Loan Board.
- UK Local Authorities.
- any institution approved for investments including high quality supranational banks such as the European Central Bank.
- UK public and private sector pension funds.
- Any other financial institution approved by the Prudential Regulation Authority, which is part of the Bank of England and is responsible for the regulation and supervision of around 1,700 banks, building societies, credit unions, insurers and major investment firms.
- Capital market bond investors either over the counter or through electronic trading platforms

## Borrowing Instruments

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

- Bank overdrafts.
- Fixed term loans.
- Callable loans or revolving credit facilities where the council may repay at any time (with or without notice).

- Callable loans where the lender may repay at any time, but subject to a maximum of £150m in total.
- Lender's option borrower's option (LOBO) loans, but subject to a maximum of £100m in total.
- Bonds, notes, bills, commercial paper and other marketable instruments.
- Sale and repurchase (repo) agreements.

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

# Debt Restructuring

The council regularly monitors both its debt portfolio and market conditions to evaluate potential savings from debt restructuring.

# Other borrowing

The county council may borrow for short periods of time to cover unexpected cash flow shortages and to take deposits on the shared investment scheme. Also to provide cash flow support for the Preston, South Ribble and Lancashire City Deal project. This is to cover the gap between the cost of construction of infrastructure and the payment of contributions from other organisations including the government and developers. This borrowing is temporary but will be reflected within the Prudential Limits at Annex 'A'.

# Policy on Borrowing in Advance of Need

The council will not borrow more than or in advance of need with the objective of profiting from the investment of the additional sums borrowed. However, borrowing in advance of need is appropriate in the following circumstances:

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

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

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

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

# Investment Strategy

The council holds reserves and other cash items on its balance sheet which are invested. In investing these cash balances the council follows guidance issued by CIPFA and DCLG which both require the priorities to be the: Security of capital and Liquidity of investments.

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

#### Approved Counterparties

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

However, the council does not rely solely on credit ratings in assessing counterparties. Other market information is also monitored such as information from the credit default swap (CDS) market and any press releases in general. In this way ensuring the council transacts with only the highest quality counterparties.

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

For short term lending of up to 1 year, the short term ratings from the ratings agencies be used and that a counterparty must have a minimum of the following:

Moody's	P1
S&P	A1
Fitch	F1

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

For medium term investments in the form of tradeable bonds or certificates of deposit (1 to 5 years, where immediate liquidation can be demonstrated), a blended average of the ratings will be taken (averaging across all available ratings), with a minimum of:

Long term AA3/AA-, Short term P1/F1+/A1+ For longer term investments (5 years and above) in the form of tradeable bonds where immediate liquidation can be demonstrated, a blended average of the ratings will be taken, with a minimum of:

Long term AA2/AA Short term P1/A1+/F1+

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

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

The minimum sovereign rating for investment is AA- with the exception of the UK. The UK's latest rating was issued by Moody's in September 2017 when they reduced the long term rating to Aa2.

Although the rating still falls within the current strategy it is not impossible as the Brexit process proceeds or if there is an economic downturn that there will be further downgrades. This could result in investments in UK government gilts, treasury bonds and bodies guaranteed by the UK government falling outside the Treasury Management strategy. However, even if there is a further reduction in the UK credit rating, the UK government is still deemed a safe investment. The government has never defaulted on its payments and as an ultimate solution it could prevent insolvency by printing money. Therefore it is proposed that the AA- minimum sovereign rating is not applied to the UK. However, given that this is theoretically increasing risk within the portfolio the limits on the holdings by maturity are as follows:

Maximum 1 year to maturity	£ 300m
Maximum maturity up to 1-5 years	£ 300m
Maximum maturity 5-10 years	£ 300m
Over 10 years	£ 500m

The table below shows the approved investment counterparties and limits:

Instrument	Minimum Credit Rating (blended average)	Maximum individual Investment (£m)	Maximum total Investment (£m)	Maximum Period
UK Government Gilts, Treasury Bills & bodies guaranteed by UK Government	UK Government	500	500	No limit
Sterling Supranational Bonds & Sterling Sovereign Bonds	AA-	150	300	No limit
Corporate Bonds (Short Term less than 1yr to maturity)	P1/A1/F1	50	200	1 year
Corporate Bonds (Medium term up to 5 years)	AA- P1/A1/F1	100	300	5 years
Corporate Bonds (Long term)	AA P1/A1+/F1+	50	200	No limit
Government Bond Repurchase Agreements (Repo/ Reverse Repo)	UK Government	300	300	3 years
Repurchase Agreements (Repo/ Reverse Repo)	Other AA-	200	200	1 year
Bond Funds with weighted average maturity maximum 3 years	AA Rated weighted average maturity 3yrs	50	100	These investments do not have a defined maturity date
Bond Funds with weighted average maturity maximum 5 years	AAA Rated	50	100	These investments do not have a defined maturity date
Collateralised lending agreements backed by higher quality government or local government and supra national sterling securities.	AA- with cash or AA- for any collateral	300	300	25 years
Call accounts with UK and Overseas Banks (domiciled in UK)	P1/A1/F1 Long term A Government support	100	200	Overnight in line with clearing system guarantee (currently 4 years)
Unsecured deposits/CDs to Banks and Building Societies	AA	10	50	1 year
Equity, property, multi asset or credit Pooled Funds	Ratings are not produced for such Funds	50	100	These investments do not have a defined maturity date

Other than call account and operational bank accounts the council does not currently make unsecured investments with banks. This is as a result of the risk following the implementation of 'bail-in' legislation, which ensures that large investors including local authorities will rescue failing banks instead of taxpayers in the future. However the

option to undertake small scale lending, widely spread, may have some value and is therefore included in the policy.

The council has previously approved the use of property and equity pooled funds if they are deemed appropriate for the overall treasury management portfolio. In addition, multi asset and credit funds exist. It is proposed that investment can also be made in these funds but that overall no more than £100m is invested in pooled funds.

In addition the council can invest with other local authorities. Following the downgrade of the UK, some local authorities saw a reduction in their ratings. Therefore, consideration has been given to reducing the risk associated with the council's investment with other local authorities. Arlingclose state that they are comfortable with clients making loans to UK local authorities for periods up to four years, subject to this meeting their approved strategy. For periods longer than four years they recommend that additional due diligence is undertaken prior to a loan being made. On this basis it is proposed that the investments to local authorities are limited as follows:

	Maximum individual Maximum total		Maximum period
	investment	investment	
Up to 4 years	£20m	£200m	4 years
Over 4 years	£20m	£100m	10 years

The council's day to day transactional bank, National Westminster, lies outside the investment credit matrix but emergency overnight deposits may be placed with them from time to time. In practice the balances are considered on a daily basis and kept as near to zero as possible. The balance on any day is typically below £1m.

Although not treated as an investment any monies would be subject to bank bail-in if there was a bank failure. The Bank of England has stated that in the event of failure, banks with assets greater than £25 billion are more likely to be bailed-in than made insolvent, increasing the chance of the council maintaining operational continuity.

# Types of Investment

The DCLG guidance defines two types of investment, firstly specified investments which are those:

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

Any investment not meeting the definition of a specified investment is classed as nonspecified. The council will not make any investments with low credit quality bodies, nor any that are defined as capital expenditure by legislation, such as company shares. The operational total limit on long-term investments was £450m in 2017/18 but with the anticipated reduction in the council's reserves this is to be reduced to £300m in 2018/19. Investment levels can be made above this with the agreement of the section 151 officer.

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

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

# Policy on the Use of Financial Derivatives

The council will only use financial derivatives (such as swaps, forwards, futures and options) on a standalone basis, where it can clearly be demonstrated that as part of the prudent management of the council's financial affairs the use of financial derivatives will have the effect of reducing the level of financial risks that the council is exposed to. Additional risks presented, such as credit exposure to derivative counterparties, will be taken into account when determining the overall level of risk. Many embedded derivatives are already used by local authorities across England and Wales including Lancashire, although unlike the government, commercial sector and other public service areas stand-alone derivatives have not generally been used.

A derivative is a financial instrument with three main features:

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

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

The embedded and standalone derivatives which can be used by the council to manage interest rate risk are summarised as follows:

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

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

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

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

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

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

Counterparty type	Documentation	Collateral types	CDS levels	Rating
Exchange	MIFCA	Cash margins	<75bp	AA
Bank	ISDA/CSA	Cash and Government bonds	<100bp	A3
Insurer and Pension Fund	ISDA CSA	Cash and Government bonds	<100 (Insurers)	A3 (Insurers)
Local Authority	Contract	Cash and Government bonds	England/Wales None	England and Wales None

The following table defines the appropriate limits for collateral quality:

The council will only use derivative contracts to hedge existing risks. This is reflected in the limits below. The 100% upper limit means that the council has the option to hedge all of, but not more than, its interest rate risk if felt appropriate.

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

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

The calculation method of interest rate risk to be hedged and hedge effectiveness will be set out in the treasury management practices document.

At all times the council will comply with CIPFA advice and guidance on the use of financial derivatives and have regard to CIPFA publications on risk management. However the council may need to seek its own legal advice.

# Impact on the County Council's Revenue Budget

With base rates at exceptionally low levels, investment returns are likely to continue to be far lower than has previously been the case. However, in the knowledge that a portion of cash invested will not be required in the short term; and to protect against continued low investment rates; investments may be made for longer time periods, depending on cash flow considerations and the prevailing market conditions.

The performance target on investments is a return above the average rate for 7 day notice money.

The following table outlines the budget for the financing charges element of the council's revenue budget as reflected in the Medium Term Financial Strategy. This is based on the Minimum Revenue Provision policy set out at Annex 'B'.

	Revenue	Revenue	Revenue	Revenue
	Budget	Budget	Budget	Budget
	2017/18	2018/19	2019/20	2020/21
	£m	£m	£m	£m
Minimum Revenue Provision	21.337	23.432	25.902	27.521
Interest paid	23.533	23.143	22.214	21.918
Interest earned	-7.912	-7.316	-6.854	-6.676
Grants received	-0.240	-0.220	-0.200	-0.180
Total	36.718	39.039	41.062	42.583

The revenue budget above reflects a position which takes account of the views of both internal and external advisers, particularly in relation to interest rate movements. Provision has also been made for changing some of the borrowing to a long term fixed rate rather than the existing short term rates.

The position will be closely monitored by the section 151 officer and any changes will be reflected in a revised forecast and included in budget monitoring or MTFS reports presented to Cabinet.

# **DCLG Consultation on Local Government Investments**

DCLG have issued a consultation paper on investments which proposes an effective date of 1 April 2018. This includes a new definition of investments, providing that investments "covers all the financial assets of the organisation, as well as other non-financial assets which the organisation holds primarily for financial returns, such as investment property portfolios. This may therefore include investments which are not managed as part of normal treasury management or under treasury management delegations. All investments require an appropriate investment management and risk management framework under this Code."

In practice, this means that any loans given or investment in assets wholly for income generation purposes are covered by the Code. Under the proposed Code, loans for economic development purposes can be made even if they do not meet the strict criteria for security and liquidity. However, the Code will expect the loans to be proportionate to the overall portfolio and limits to be set on the maximum that can be loaned.

Similarly, councils can hold non-financial investments, which will normally involve a physical asset that can be realised to recoup the capital invested. The Code requires details on the assessment of risk and the action to be taken if the value of the asset no longer covers the investment.

If there are any required actions, including the setting of limits, they will be undertaken once the outcomes of the consultation paper are finalised.

Currently, the council does not make direct investments in property for income generation purposes.

# **PRUDENTIAL INDICATORS**

In line with the relevant legislation the county council has adopted the Prudential Code for Capital Finance in Local Authorities and the CIPFA Treasury Management in the Public Services Code of Practice (2011) as setting the framework of principles for its treasury management activities. In accordance with the requirements of these codes the council produces each year a set of prudential indicators which assist in the process of monitoring the degree of prudence with which the council undertakes its capital expenditure and treasury management activities. Specific indicators also provide limits with regard to certain types of activity such as borrowing. These indicators are a consequence of the activities set out within the Treasury Management Strategy.

# **Capital Expenditure and Financing**

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

Actual	Estimate			
2016/17	2017/18	2018/19	2019/20	2020/21
£144.653m	£155.271m	£161.392m	£59.928m	£4.797m

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

Actual	Estimate			
2016/17	2017/18	2018/19	2019/20	2020/21
£1,002.017m	£1,060.298m	£1,104.375m	£1,111.017m	£1,080.851m

# Prudence and Affordability

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

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

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

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

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

The net revenue stream is defined as the amount required to be funded from government grants and local taxpayers, in effect the budget requirement. Estimates of the ratio of financing costs to net revenue (or budget requirement) are as follows:

2017/18	2018/19	2019/20	2020/21
4.79%	5.22%	5.46%	5.77%

The capital programme is being considered by the council and is not currently finalised. The indicators have been calculated including the cost of financing the borrowing already included in the programme. It assumes that any further new starts will be funded by grants or contributions and therefore borrowing is not required. It is estimated that the incremental council tax impact of the programme on taxpayers will be:

2018/19	2019/20	2020/21
£7.58	£8.36	£3.68

# External Debt

The council is required to approve an "authorised limit" and an "operational boundary" for external debt. The limits proposed are consistent with the proposals for capital investment and with the approved treasury management policy statement and practices. The limits also include provision for the £150m cap on the shared investment scheme. The indicators are split between borrowing and other long term liabilities, such as PFI projects. It is proposed that this is an overall limit but the section 151 Officer can approve a switch between borrowing and other long term liabilities.

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

	2017/18 Revised	2018/19	2019/20	2020/21
	£m	£m	£m	£m
Borrowing	1,150	1,220	1,220	1,200
Other long term liabilities	185	185	185	185
TOTAL	1,335	1,405	1,405	1,385

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

	2017/18 Revised	2018/19	2019/20	2020/21
	£m	£m	£m	£m
Borrowing	1,070	1,115	1,125	1,095
Other long term liabilities	160	160	160	160
TOTAL	1,235	1,275	1,285	1,255

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

2017/18	£15.942m
2018/19	£15.079m
2019/20	£14.239m
2020/21	£13.661m

## Gross Debt and Capital Financing Requirement

As a measure of prudence and to ensure that over the medium term debt is only used for a capital purpose, the prudential code requires a comparison of gross debt and the capital financing requirement. The following table shows the comparison for the council:

	As at 31 March			
	2018	2019	2020	2021
	£m	£m	£m	£m
Borrowing CFR	902.998	953.175	965.917	941.851
Estimated total borrowing	1,050.510	1,095.576	1,103.192	1,074.311

## Borrowing above CFR Comprising:

Premiums	38.458	35.204	31.951	28.785
Shared Investment Scheme	60.815	60.815	60.815	60.815
Borrowing relating to other				
authorities	48.239	46.382	44.509	42.860

The gross debt is higher than the capital financing requirement. This is because certain borrowing is included in the total borrowing but does not count against the CFR. These include the shared investment scheme and the transferred debt.

# Treasury Management Indicators

The indicators and limits relating to specific treasury management activities are set out as follows, with the 2017 information provided for reference.

## Interest rate exposure

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

	Upper Limit	2017
Net Interest Payable at Fixed Rates	£50.400m	£9.300m
Net Interest Payable at Variable Rates	£5.000m	£4.300m
One year impact of a 1% rise in rates	£10.000m	£1.800m

## Maturity structure of debt

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

	Upper Limit	2017
Under 12 months	75%	47%
12 months and within 2 years	75%	5%
2 years and within 5 years	75%	26%
5 years and within 10 years	75%	6%
10 years and above	50%	16%

# Investments over 364 days

Limit on the level of long term investments helps to control liquidity, although the majority of these investments are currently held in available for sale securities. The limit is an operational one and if required can be exceeded with the approval of the Director of Finance. The proposed operational limit is:

	Upper limit
Total invested over 364 days	£300m

## Minimum Average Credit Rating

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

	Benchmark	2017
Average counterparty credit rating	A+	AA+

# Minimum Revenue Provision Statement 2018/19

This requirement for this annual statement to be approved by the county council arises from statutory guidance initially issued by the Department of Communities and Local Government (DCLG) in 2008 and updated in 2010. DCLG have recently issued a consultation paper including this subject area and this has been taken into consideration in producing this policy statement.

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

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

## The Four Options Explained

## 1. Regulatory method

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

# 2. Capital Financing Requirement (CFR) method

This option allows for the MRP to be calculated as 4% of the Capital Financing Requirement. The CFR is derived from the balance sheet and represent the value of the fixed assets for which financing provision has not already been made. This method of calculation has been used at the council since the introduction of the MRP in 2004.

## 3. Asset Life Method

Guidelines for this method allow for an MRP to be calculated based on the estimated life of the asset. The actual calculation can be made in two ways as follows:

- A calculation to set an equal charge to revenue over the estimated life of the asset. This charge will not be varied by the state of the asset or,
- An annuity method. This provides for greater charges in the later years of the assets life and should only be used if it can be demonstrated that benefits are likely to increase in the later years.

The DCLG consultation paper proposes maximum asset lives to be used. These are 50 years for freehold land and 40 years for other assets. Although these have to be confirmed. The council has generally used asset lives within these limits. Therefore it is proposed that for 2018/19 the asset lives used in calculating the MRP will be kept within these limits.

# 4. Depreciation method

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

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

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

## Finance Leases and PFI

Assets held under a PFI contract form part of the balance sheet. This increases the CFR and on a 4% basis the charge to the revenue account. To prevent the increase the guidance permits a prudent MRP to equate to the amount charged to revenue under the contract to repay the liability. In terms of the existing PFI schemes this charge forms part of the payment due to the PFI contractor.

## The Council's Policy

From 2008/09 to 2014/15 the CFR method has been applied to all supported borrowing incurred before 1 April 2007. This charge is based on 4% of the outstanding capital financing. As the charge is based on a 4% reducing balance, it never effectively repays the debt. Also, it is considered that the 4% charge over-estimates the level of support within the revenue support grant. From 2015/16 the charge was made with reference to the CFR but based upon a 50 year life rather than a reducing balance. It is assumed that there is an equal charge over each of the 50 years. It is proposed to continue this policy in 2018/19.

For 2008/09 to 2014/15 the Asset Life method (Equal Charge approach) has generally been applied to capital expenditure financed by unsupported borrowing. PFI payments will be made in line with the amounts due to repay the liability under the contract. An alternative approach to the equal charge is the annuity method which is the cheapest MRP option in the early years, and maintains a constant impact on the revenue account over the useful life of the asset being financed, once interest costs are taken into account. The basis of the charge will remain as the asset life for 2018/19 and the annuity basis will be used to calculate the MRP.

For new assets MRP will not be charged until the financial year after which the project is deemed to be complete.

MRP will not be made for assets constructed as part of the Preston, South Ribble and Lancashire City Deal where the borrowing will be repaid from other capital financing sources within the life of the City Deal. As this is temporary borrowing that will be repaid from sources such as Community Infrastructure Levy and funding from the Homes and Communities Agency when the development of the assets has taken place. Thus it is deemed that an alternative prudent plan for repayment is in place. However, this position will be reviewed each year in the light of progress on the City Deal programme.