Leicestershire County Council

Meeting: **Cabinet**

Date/Time: **Friday, 15 September 2017 at 11.00 am**

Location: **Sparkenhoe Committee Room, County Hall, Glenfield**

Contact: **Mr. M. Hand (Tel. 0116 305 6038)**

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Membership

Mr. N. J. Rushton CC (Chairman)

Mr. R. Blunt CC
Mr. I. D. Ould CC
Mr. B. L. Pain CC
Mrs. P. Posnett CC
Mr. J. B. Rhodes CC
Mr. R. J. Shepherd CC
Mr. E. F. White CC

APPENDIX PACK

Item		Report by	
4.	2017/18 Medium Term Financial Strategy Monitoring (Period 4) and Investment Proposals.	Director of Corporate Resources	(Pages 3 - 20)
6.	Draft Corporate Asset Investment Fund Strategy 2017/18.	Director of Corporate Resources	(Pages 21 - 48)
7.	Funding Requirements to Deliver the Ofsted Continuous Improvement Plan	Director of Children and Family Services	(Pages 49 - 70)
9.	Leicestershire and Rutland Local Safeguarding Children Board and Safeguarding Adult Board Annual Reports 2016/2017.	Independent Chair of the Safeguarding Boards	(Pages 71 - 194)
11.	LTP3 Hinckley Area Project Phase Zone 4 - Proposed Transport Improvements.	Director of Environment and Transport	(Pages 195 - 206)

12.	Highway Infrastructure Asset Management Plan.	Director of Environment and Transport	(Pages 207 - 258)
13.	Permit Scheme for Street Works and Road Works.	Director of Environment and Transport	(Pages 259 - 322)
14.	Progress with the Implementation of the Communities and Wellbeing Strategy 2016-2020.	Director of Adults and Communities	(Pages 323 - 420)
15.	Delayed Transfers of Care.	Director of Health and Care Integration and Director of Adults and Communities	(Pages 421 - 424)
16.	Leicestershire Minerals and Waste Local Plan Proposed Changes and Future Programme.	Chief Executive	(Pages 425 - 432)
17.	Melton Local Plan - Addendum of Focused Changes Consultation Response.	Chief Executive	(Pages 433 - 444)
18.	Local Code of Corporate Governance.	Director of Corporate Resources and Chief Executive	(Pages 445 - 464)

APPENDIX 1

REVENUE BUDGET MONITORING STATEMENT
FOR THE PERIOD : APRIL 2017 TO JULY 2017

	Updated Budget	Projected Outturn	Difference from Updated Budget		
	£000	£000	£000	%	
Schools Budget					
Delegated	98,737	98,737	0	0.0	
Centrally Managed	96,377	97,477	1,100	1.1	
Dedicated Schools Grant (DSG)	-195,114	-195,114	0	0.0	
Balance to/from DSG Earmarked Fund	0	-1,100	-1,100	n/a	
	0	0	0	n/a	
LA Budget					
Children & Family Services (Other)	61,579	66,809	5,230	8.5	RED
Adults & Communities	135,812	130,922	-4,890	-3.6	GREEN
Public Health *	160	50	-110	n/a	GREEN
Environment & Transport	66,686	66,626	-60	-0.1	GREEN
Chief Executives	10,099	9,649	-450	-4.5	GREEN
Corporate Resources	33,039	32,699	-340	-1.0	GREEN
DSG (Central Dept recharges)	-922	-922	0	0.0	GREEN
Carbon Reduction Commitment	355	225	-130	-36.6	GREEN
Contingency for Inflation	5,377	4,677	-700	-13.0	GREEN
Total Services	312,185	310,735	-1,450	-0.5	
Central Items					
Financing of Capital	22,800	22,800	0	0.0	GREEN
Revenue Funding of Capital	26,950	27,750	800	3.0	RED
Central expenditure	3,421	3,371	-50	-1.5	GREEN
Central grants and other income	-13,956	-13,956	0	0.0	GREEN
Total Central Items	39,215	39,965	750	1.9	
Pot holes and school parking issues	0	700	700	n/a	n/a
Contribution from Earmarked Funds	-1,000	-1,000	0	0.0	GREEN
Total Spending	350,400	350,400	0	0.0	
Funding					
Revenue Support Grant	-19,548	-19,548	0	0.0	GREEN
Business Rates - Top Up	-37,566	-37,566	0	0.0	GREEN
Business Rates Baseline / retained	-21,783	-21,793	-10	0.0	GREEN
S31 Grants - Business Rates	-1,470	-1,770	-300	20.4	GREEN
Council Tax Collection Funds - net surplus	-5,596	-5,596	0	0.0	GREEN
Council Tax	-263,087	-263,087	0	0.0	GREEN
Total Funding	-349,050	-349,360	-310	0.1	
Net Total	1,350	1,040	-310		

* Public Health funded by Grant (£25.5m)

Underspending / on budget	GREEN
Overspending of 2% or less	AMBER
Overspending of more than 2%	RED

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APPENDIX 2

Revenue Budget 2017/18 – forecast main variances

Children and Family Services

Dedicated Schools Grant

A net overspend of £1.1m is forecast, which will be funded from the DSG earmarked fund. The main variances are:

	£000	% of Budget
High Needs		
Specialist Services to Vulnerable Groups	**650**	**19%**
The 2017/18 MTFS included savings of £790k on Specialist Teaching Services; whilst it is not expected that this saving will be fully achieved in 2017/18 a small part of this saving may be acheived by the non recruitment to vacancies. The Transformation project has seen some delay pending the recruitment of a project lead; a lead is now in post and planning is underway, and the project is included as a workstream within the High Needs Block Inclusion project. Recent years have seen more pupils with Autism Spectrum Disorder being supported by alternative providers arranged by the Autism Outreach Intensive Support Service; these pupils have been reviewed to plan their future provision and some savings are anticipated in the period 5 monitoring return.		
Special Educational Needs (SEN)	**250**	**0.4%**
The 2017/18 MTFS included savings of £725k on SEN placements; the required saving has been met in part. A number of actions have been put in place that are showing success is reducing costs, these include the Graduated Response through the Oakfield short stay school which is preventing pupils entering into independent placements, an increase in the number of lower cost local placements, more effective transitional planning and strengthening assessment and commissioning arrangements. The final choice of place often isn't made until the young people get their exam results in August and is not known at the time of budget setting. A full reconciliation of July leavers and September starters will be completed during September and October and forecasts amended as necessary. 5 families have gone to mediation because their children were offered alternative school places than the ones requested; if the tribunals are successful expenditure may increase. A number of young people will start in Further Education colleges after they get their exam results and individual costs won't be known until they can be assessed in college. Accurate costs will be known in October.		
Education of Children with Medical Needs	**175**	**30%**
Pupil numbers increased by 60 pupils between April and June 2017. Should pupil numbers continue to rise in line with the last 2 academic years, it is predicted that numbers and costs will exceed the current forecast.		
Other variances	**25**	**n/a**
TOTAL	**1,100**	**n/a**

Local Authority Budget

The Local authority budget is forecast to overspend by £5.2m (8.5%). The main variances are:

	£000	% of Budget
Children Placement	**2,200**	**9%**
For 2017/18 the number of looked after children is projected to increase by 10% from 494 in March 2017. The average unit cost for children's placements is projected to increase by 5% from 2016/17, but is still a reduction of 7% from the position in 2015/16. The increase in cost in 2017/18 is related to the changing mix of placement provision and a higher than originally expected arrival of children entering care that require residential provision.		
Safeguarding Unit / First Response Service	**800**	**16%**
Additional staffing costs in line with the agreed post Ofsted action plan and a requiment to engage agency staff to cover the new posts and to cover vacancies.		
Childrens Social Care Field Work Teams/Children in Care Team	**680**	**9%**
Additional staffing costs in line with the agreed post Ofsted action plan and a requiment to engage agency staff to cover the new posts and to cover vacancies.		
Children's Social Care Legal Costs	**600**	**117%**
The number of care cases that have been instructed to issue proceedings continues to rise and result in a budget pressure.		
Directorate	**570**	**68%**
Combination of delays in next phase of management restructure and additional costs as result of agreed post Ofsted action plan. Use of consultants is still expected and contributes to the overall projected overspend.		
Fostering and Adoption Service	**440**	**16%**
Increased demand on service, largely due to the increased volume of fostering assessments which requires additional capacity. Additional costs have also been reflected as a result of the agreed post Ofsted action plan.		
Asylum Seekers Budget	**180**	**56%**
Demand on this budget significantly increased last financial year and is projected to do the same this financial year, which has resulted in increased need for additional staffing to manage demand. The majority of these children arrive spontaneously and become the statutory responsibility of the local authority in which they arrive.		
Education learning and Skills - 5-19 Learning - IAG (Information, Advise and Guidance)	**-425**	**-20%**
Contract for IAG with Prospects will reduce from £1.4m p.a. to £0.7m p.a. from 1st October 2017. MTFS IAG savings contribution has been achieved earlier than expected. Originally not expected until 2018/19.		
Other variances	**185**	**n/a**
TOTAL	**5,230**	**n/a**

Adults & Communities

The Department is forecasting a net underspend of £4.9m (3.6%). The main variances are:

	£000	% of Budget
Safeguarding, DOLS and Court of Protection	**150**	**7%**
Overspend relates to staff costs due a continuing high volume of referrals, an increase in the need for paid person representatives as a result of a court judgement ruling a conflict of interest in a particular case relating to relevant person representatives (normally relatives) and a loss of expected DoH grant.		

Community and Wellbeing Savings	**110**	**n/a**
Delay in the implementation of Smart Libraries (late 2017) and a change request for the HR action plan to be implemented at the end of the project means that the £0.1m saving within the MTFS is unlikely to be achieved but will be offset by a range of one-off income and underspends through the service (contained within Other variances (under £100k) below).		
Community Income	**-2,300**	**-13%**
£2m of the underspend relate to overperformance in 2016/17 that benefits the current financial year. The Community Income variance is £2.3m for the current year, as Continuing Health Care income continues to perform strongly, partly through more accurate/timely recording on social care systems.		
Residential Care and Nursing	**-705**	**-1%**
Reduction in number of service users (25) and lower average cost (£1.2m) ,higher income from third party service user charges (£0.2m) offset by care costs relating to previous financial years (£0.7m). There are 2,340 service users with an average care package cost of £709 per week.		
Community Life Choices (CLC) / Day Services	**-560**	**-15%**
Underspends due to decline of new referrals therefore staffing has been scaled down as appropriate, vacancies held pending action plans for co-located services due to take place in Sept and vacancies a result of the new CLC strategy implementation.		
Direct Payments (DP)	**-320**	**-1%**
The number of service users and package size is broadly in line with budget. There are 2,798 service users per week receiving an average package of £241.52.		
Community Life Choices	**-290**	**-6%**
Reduction in number of packages and cost following the implementation of new contract		
Supported Living	**-240**	**-2%**
Reduction in number of service users (£0.5m) offset by increase in care package costs (£0.3m).		
Aids, Adaptations and Assistive Technology	**-205**	**-8%**
Staffing underspend through vacancies (£137k) and reduced spend on running cost and equipment budgets (£70k).		
Home Care	**-170**	**-1%**
Variance arising from a reduction in the average hours of care required. There are forecast to be 1,379 service users per week receiving average maintenance package of 10.80 hours per week.		
Other variances (under £100k)	**-360**	**n/a**
TOTAL	**-4,890**	**n/a**

Public Health

A net underspend of £110,000 is forecast. The main variance is:

	£000	**% of Budget**
Public Health Advice	**-80**	**-4%**
This is a planned saving in relation to the decommissioning of a contract mid year by Chidren and Family Services as part of the Early Help and Prevention Review. This saving is contributing to the MTFS target of £1.5m savings by 2020/21.		
Other variances	**-30**	**n/a**
TOTAL	**-110**	**n/a**

Environment and Transportation

At present the Department is forecast to underspend by £60,000 (0.1%). The main variances are:

	£000	% of Budget
Highways		
Winter Maintenance	**100**	**7%**
Additional costs for changes to winter driver shifts/rotas.		
Forrestry	**70**	**20%**
Safety Critical activities which need attention		
Street Lighting Maintenance	**-370**	**-14%**
Underspend on energy costs due to acceleration of the LED programme and network cabling which is now part of the LED project.		
Management & Training Costs	**-160**	**-16%**
Underspend due to vacancies.		
Highways Delivery - Staffing & Admin	**-120**	**-9%**
Underspend due to vacancies.		
Transportation		
Special Educational Needs Transport	**300**	**4%**
Overspend due to increasing number of pupils and risk assessment process which has identified indivduals with more complex needs.		
Social Care Transport	**260**	**8%**
Overspend forecast due to cost pressures as a result of increased demand. The recent review of Social Care Transport should start to reduce levels of spend from October onwards on Adult Social Care transport costs.		
Public Bus Services	**75**	**3%**
£40k of overspend relates to cost of providing a bus service replacement (for service 8) due to commercial deregistration by bus company.		
Concessionary Travel & Joint Arrangements	**55**	**1%**
Concessionary travel reimbursements to date suggest potential additional costs of £55k for 2017/18. The downward trend of reimbursement costs may have been overestimated when budgets were set for 2017/18. It is however early in the financial year and concessionary travel reimbursements can be affected by bus company fare rises, service reductions, unusual weather patterns and other factors.		
Mainstream School Transport	**-255**	**-5%**
Underspend forecast based on previous year spending patterns. Spending on Mainstream School Transport has reduced in recent years as a result of lower demand due to policy changes. Contract efficiencies have also contributed towards savings. This trend is expected to continue in 2017/18.		
Environment & Waste		
Haulage and Waste Transfer	**195**	**13%**
Haulage cost forecasts have increased for 2017/18 due to the temporary closure of Whetstone RHWS (due to fire), closure of the Mechanical Biological Treatment (MBT) plant and increased forecast haulage to Stoke Energy for Waste (EfW) plant and Hinckley and Bosworth BC direct deliveries to Coventry, due to the MBT closure.		
Composting Contracts	**-90**	**-6%**
Forecasting less green waste due to warm weather (drier and therefore lower growth).		
Recycling & Household Waste Sites	**-85**	**-3%**
Forecast underspend relates to an anticipated increase in income from the sale of recyclable materials.		

Departmental & Business Management		
Departmental costs	**60**	**16%**
Overspend mainly relates to £25k for NHT (National Highways and Transport) survey work and £30k contribution to East Midlands Councils for Strategic Transport Priorities 2017/18.		
Other variances	**-95**	**n/a**
TOTAL	**-60**	**n/a**

Chief Executives

An underspend of £450,000 (4.5%) is forecast. The main variances are:

	£000	**% of Budget**
Projects	**-205**	**-79%**
The government has delayed its decision on the Combined Authority and as a result none of the £150k contribution will be required this year.		
Democratic Services and Administration	**-115**	**-7%**
There has been a restructuring which has resulted in lower staffing costs and also a number of new appointments made at the bottom of the grade.		
Trading Standards	**-50**	**-3%**
Increased income for the Ports and Border Project has been received, this has been partly offset by increased agency staff costs to undertake the work.		
Other variances	**-80**	**n/a**
TOTAL	**-450**	**n/a**

Corporate Resources

A net underspend of £0.3m (0.9%) is forecast. The main variances are:

	£000	**% of Budget**
Building Costs	**65**	**1%**
Predominantly as a result of an unbudgeted business rates charge for Snibston administration offices, the basis of which is being reviewed by Lambert Smith Hampton and may decrease if an appeal is forthcoming and successful.		
Learning & Development	**55**	**3%**
Recharge income foregone as replaced by Apprenticeship Levy credits. Expected to be absorbed by substitution of existing training if it fits the criteria.		
ICT	**-225**	**-2%**
Variances achieved through staff vacancies which have not been replaced whilst outcome of Agilysis review is awaited.		
Corporate Human Resources	**-90**	**-5%**
Underspends a result of maternity leave and vacancies in HR and Health & Safety services, alongside reduction in planned ICT expenditure.		
Strategic Finance	**-80**	**-3%**
Attrition & retirements not replaced in Finance as vacancies are held in anticipation of future year savings / impending Review. Work is being absorbed and prioritised accordingly.		
Customer Service Team	**-60**	**-3%**
Variance a result of staffing vacancies held in the Customer Service Team following departure of staff to ASC jobs.		
Other variances	**-5**	**n/a**
TOTAL	**-340**	**n/a**

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APPENDIX 3

Service Pressures Action Plan

Looked After Children (LAC)

Over the past five years the County Council has seen a significant growth in its LAC Population, which has risen 36% (from 375 in March 2012 to 510 in March 2017) and now stands at 533. Many other authorities are experiencing similar pressures with the Local Government Association (LGA) reporting 75% of Councils overspending and a cumulative pressure of £600 million. Even with the rise the County Council's overall comparative rate remains low, however its use of residential care is high which, given the very large cost of these kinds of placement, is one of the main drivers for the increase in expenditure in this area. A Care Placement Strategy is being developed as part of the Transformation Programme with the aim of more effectively managing the main aspects of the Looked After Children's System to where possible impact upon demand and reduce costs. The main aspects are detailed below.

Develop specialist Edge of Care Services to reduce the necessity for care, and to support step-downs from care.

The service provides a range of early help services and works with families where there maybe a risk of children having to come into care. These services are presently being reviewed and there is a need to strengthen the links with social care services to provide a combined service, which is more targeted at the highest risk families. This will enable a more intensive engagement with families to be developed enhancing the present offer with the potential to increase the number being diverted from having children removed into care and also to be able to offer a more comprehensive support package to allow children to be returned to families where appropriate to do so.

Strict gatekeeping by Senior Managers to authorise and monitor high cost placements.

All high cost placements have to be authorised by the Director or an Assistant Director.. Weekly meetings are being held chaired by the Director to monitor all residential placements in order to avoid drift and ensure children only remain in these very expensive placements as long as there is a need for them to do so.

Enhanced systems and greater challenge to Health to contribute to placements costs.

Many of the children coming into care have health needs. Where children remain local they can often access local health services, however this is not always possible or desirable. This is particularly the case of those with complex needs requiring high cost placements where Health will on occasions contribute to part of the cost of a placement. New procedures have been introduced to provide greater efficiency and are ensuring a more consistent and equitable apportionment of costs is being achieved. The potential exists to build on this to achieve a pooling of resources to provide further efficiencies.

Grow the in-house fostering service as a direct alternative to more expensive Independent Fostering Agency (IFA) placements

In-house foster placements cost on average £15k less that an equivalent IFA placement. Plans are in place to significantly grow the in-house service to reduce the need for the use of more costly IFA placements. This is now starting to have an impact with over 70 new families at various stages of recruitment. Extra staff resources are being taken on to complete the required assessments due to the increased take up and 15 new fostering families will become available in the next three months. An experienced fostering manager is now working with the service to further refine business processes and develop a comprehensive business plan to maintain and enhance the growth over the forthcoming period.

Establish specialist family based services as a direct alternative to residential care.

Specialist services have been developed by other Councils using experienced foster carers supported by a dedicated multi-disciplinary team of professionals. These services have worked with very challenging children at high risk of going into residential care or assisting children to leave residential care and have been shown to be effective. By providing a family based alternative not only is there a direct benefit for the children to be within a more normal situation with potentially better long term outcomes but also a significant cost saving. The intention is to commission this kind of service for Leicestershire to become operational in 2018/19.

Establish more 16 Plus Supported Accommodation.

As looked after young people move towards independent living it is possible to meet their needs within a semi-independent setting. This provides a degree of support but also promotes more self care in preparation for full independence. The service is keen to expand the scope of these kinds of placements which provide a cost effective solution for some young people but not all. A Framework of approved Providers has recently been established to ensure we are achieving good quality best value in the placements.

Extend the use of Adoption including for older children and those with disabilities.

The service had stopped recruiting Adoptive Parents although this has now recommenced and very positive results have been achieved with over 40 families expressing an interest or being assessed. This number exceeds Leicestershire's requirements, providing the option to offer the surplus to other authorities at a cost sufficient to provide some financial contribution to the adoption teams overall operating costs.

There is now greater emphasis on recruiting to provide adoption as an option for those children with more challenging needs including children with disabilities who have previously not been considered appropriate for adoption. If successful this approach would allow more children to leave care providing them a better long term option and well as potentially reducing some cost pressures.

Operate more robust contracting arrangements to manage costs pressures and ensure contract compliance.

Children and Family Services commission over £40 million of services mainly as placement costs. Previously these were not centralised and overseen by various managers. A strengthened single Commissioning Team has now been established which is providing an enhanced level of scrutiny of both individual placements and service contracts ensuring best value is being achieved. The service is now fully engaged with regional frameworks used to manage costs with providers and is about to lead a regional development to establish a new framework for SEND Placements. This team is also actively engaged with reviewing the Department's commissioning strategies.

Review the commissioning strategy for residential and independent foster care including our continuing role as a provider.

At present all residential and IFA placements are spot purchased. Given the pressures in the market it is getting increasingly difficult to find placements in this way and more emphasis now needs to be placed on alternative models. This could involve approaches such as block purchase of placements, partnership with providers to develop or manage services on the Councils behalf, partnerships with neighbouring councils etc. A review of this area is about to commence led by the Director which will report in the autumn.

Children with Disabilities Team.

Since 1st March 2017 the number of residential placements supported by this team has risen from 15 to 27 an 80% increase. This has been one of the major factors in the financial pressures which have occurred over the same period within the placements budget. Most of the placements have involved adolescents with defined disabilities who have associated very challenging behaviours which families are finding increasing difficulty in managing within the home environment. The service now has a new management team and we are in the process of developing a discrete strategy to address the limitations of the local service offer with the aim to increase the range and intensity of the support we can offer to families as an alternative to residential. This is particularly important given most families remain committed and are often distressed by not being able to keep their children at home. Whilst this will not be a possibility for all children we believe there is potential to significantly extend what we offer in more cost effective ways. The new strategy, which will be available in the autumn, will be based upon similar principles to those adopted by the SEND Strategy which is starting to have a positive impact and with which there will be an overlap given some children are within both services.

Paul Meredith
25th August 2017.

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CAPITAL PROGRAMME MONITORING STATEMENT (PERIOD 4) **APPENDIX 4**

Live schemes – Works have commenced or are in a position to start.

	Original Budget £000	Outturn adjustment and Changes in Funding £000	Updated Budget £000	Forecast £000	Updated Budget v Forecast Variance £000
Children & Family Services*	18,289	6,752	25,041	25,041	0
Adults and Communities	3,351	354	3,705	3,719	14
E&T-Transportation	29,271	-1,047	28,224	33,391	5,167
E&T-Waste Management	300	20	320	320	0
Chief Executive's	100	24	124	124	0
Corporate Resources	2,485	1,401	3,886	4,039	153
Corporate Programme	12,010	2,944	14,954	14,954	0
Total	**65,806**	**10,448**	**76,254**	**81,588**	**5,334**

Preparatory schemes – schemes identified and requiring regulatory or internal approval.

	Original Budget £000	Outturn adjustment and Changes in Funding £000	Updated Budget £000	Forecast £000	Updated Budget v Forecast Variance £000
Adults and Communities	289	196	485	100	-385
E&T-Transportation	1,709	-123	1,586	231	-1,355
Corporate Resources	400	500	900	700	-200
Corporate Programme	4,090	2,999	7,089	257	-6,832
Total	**6,488**	**3,572**	**10,060**	**1,288**	**-8,772**

Funding available – for schemes at ideas stage.

	Original Budget £000	Outturn adjustment and Changes in Funding £000	Updated Budget £000	Forecast £000	Updated Budget v Forecast Variance £000
Adults and Communities	100	114	214	0	-214
Total	**100**	**114**	**214**	**0**	**-214**

Overall Summary

	Original Budget £000	Outturn adjustment and Changes in Funding £000	Updated Budget £000	Forecast £000	Updated Budget v Forecast Variance £000
Children & Family Services*	18,289	6,752	25,041	25,041	0
Adults and Communities	3,740	664	4,404	3,819	-585
E&T-Transportation	30,980	-1,170	29,810	33,622	3,812
E&T-Waste Management	300	20	320	320	0
Chief Executive's	100	24	124	124	0
Corporate Resources	2,885	1,901	4,786	4,739	-47
Corporate Programme	16,100	5,943	22,043	15,211	-6,832
Total	**72,394**	**14,134**	**86,528**	**82,876**	**-3,652**

*Excludes Schools Devolved Formula Capital

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APPENDIX 5

Capital Budget 2017/18 – forecast main variances

Children and Family Services

The forecast expenditure is in line with the updated budget.

Adults & Communities

Net slippage of £0.6m is forecast compared with the updated budget.
The main variances are:

	£000
Mobile Libraries	**-285**
A decision on whether to use the remaining funding will be taken after the report to Cabinet in September 2017 on the implementation of the C&W Strategy.	
Changing Places / Toilets	**-214**
At this stage there are no schemes identified that could be delivered in 2017/18. Slippage to next year as there are 2 potential schemes in 2018/19.	
Smart Libraries	**-100**
The procurement process for the SMART libraries contract is to begin after the September 2017 Cabinet report on the implementation of the C&W Strategy. As a result the procurement award is likely to occur in late 2017, therefore planned works in 2017/18 at this stage are unlikely and are most likely to occur in 2018/19.	
Other variances	**14**
TOTAL	**-585**

Environment and Transportation - Transport

A net acceleration of £3.8m is forecast compared with the updated budget.
The main variances are:

	£000
Zouch Bridge	**-1,355**
Slippage due to protracted Land purchase. CPO expected to take place in 2017/18 with construction commencing early in 2018/19.	
Hinckley Area Approach Scheme	**-366**
Slippage due to revised scope of works. Paper to go to cabinet in September 2017 detailing the works to be carried out.	
LED Street Lighting	**5,000**
Acceleration of scheme to enable early finish and early realisation of savings, additional installation gangs have been contracted.	

Preventative Maintenance - Surface Dressing	**200**
Extreme weather conditions have resulted in the programme being behind schedule. In order to bring the programme back on track the services of a top up contractor have been acquired. It is anticpated the all programmed jobs will now be completed this financial year.	
Welfare Unit	**200**
Detailed assessment and design has resulted in additional cost required to make the depot fit for purpose.	
Restorative Patching	**133**
Signiciant number of category 2 defects which is causing budget to overspend. Extra funding is required to meet the network condition repair category 2 defect, to prevent potholes forming and to be able to make sensible decisions about co-ordinating patching & utilising other traffic management on the network when available.	
Other variances	**0**
TOTAL	**3,812**

Environment and Transportation - Waste Management

The forecast expenditure is in line with the updated budget

Chief Executives

The forecast expenditure is in line with the updated budget

Corporate Resources

Net slippage of £0.1m is forecast compared with the updated budget.
The main variances are:

	£000
Loughborough, Pennine House Area Office	**-250**
Underspend due to the reduction in the refurbishment works required.	
Snibston Country Park Future Strategy	**-200**
Slippage while awaiting agreement with The Coal Authority to release a covenant before submitting the planning application. The negotiations have taken longer than expected. Once the application is submitted and validated it will go through the usual planning process, with the aim to be considered at NWLDC's planning committee in December for a decision.	
Corporate ICT	**204**
Unified Telephony/Skype - the scope and specification of the original business case has been been re-examined to include additional functionality for audio and video conferencing and additional resources to support the deployment and installation of hardware (£124k overspend) Geographical Information System (GIS) Replacement - original scheme scope changed to include external resources to design and build the infrastruture. (£80k overspend)	

WAN Replacement	**100**
Acceleration from 2018/19. Tender exercise is underway and expected to be completed in September 2017. Provisional profile of spend is £100k in 2017/18 and £350k in 2018/19.	
Beacon Hill Café and Education Centre	**60**
The final business case has now been completed which requires an additional £60k due to catering cabin upgrade and building regulation implications. Funded from underspends on other schemes.	
Other variances	**39**
TOTAL	**-47**

Corporate Programme

Net slippage of £6.8m is forecast compared with updated budget.
The main variances are:

	£000
Coalville Workspace Project	**-6,839**
The scheme is currently being redesigned as it is financially unviable and will then be re-costed and re-programmed.	
Other variances	**7**
TOTAL	**-6,832**

Capital Programme - Changes in Funding

Outturn Adjustments - 2016/17	**£000**
Children & Family Services	-3,235
Adults & Communities	314
E&T - Transportation	-870
E&T - Waste Management	20
Chief Executives	24
Corporate Resources	1,422
Corporate Programme	5,943
	3,618

2017/18 Adjustments

Children and Family Services	
Reprogramming to 2017/18 (acceleration) £7.2m: - Hinckley Richmond PS - £2.0m - Barwell Area Primary Places - £2.0m - Sketchley Hill PS - £1.8m - Earl Shilton, Townlands PS - £0.9m, and - SEND Initiatives - £0.5m	7,176
Early Years Capital Fund Grant - reduced by £170k as one scheme has now been withdrawn and the funding reclaimed	513
Section 106 - capital contributions unapplied (capital reserves)	1,314
Section 106 - various contributions to school accomodation programme.	960
School Condition Grant - adjustment for final allocation	24

Adults & Communities	
Disabled Facilities Capital Grant - adjustment for final allocation	350
Environment and Transportation - Transport	
Melton Eastern Distributor Road - removal of grant, now revenue	-800
Speed Awareness Pilot - funded from MTFS c/fwd from 2016/17	500
Corporate Resources	
Anstey Frith Cottages - funded from Future Capital Development earmarked fund.	479
Sub Total	**10,516**

Overall Total	**14,134**

Agenda Item 6

APPENDIX A

2017/ 2018

DRAFT Corporate Asset Investment Fund Strategy

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Leicestershire County Council

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1. Introduction

1.1 This strategy is to be followed when considering the acquisition by Leicestershire County Council (**The Council**) of an interest in property for the purposes of inclusion with the Corporate Asset Investment Fund (**The Fund**). For the purpose of this strategy, reference to "property" includes any property constructed on land or an interest in land itself.

1.2 It applies to the acquisition by **The Council** of all interests in non-operational property including freeholds, leaseholds, easements and options. However, it does not apply to acquisitions under compulsory purchase procedures.

1.3 **The Council** owns and manages investments in the form of commercial properties and County Farms Estates. These properties are held for the purposes of supporting the delivery of various economic development objectives and also prioritising revenue and capital returns to the County Council. These properties will continue to be managed under existing asset governance arrangements (i.e. through the Officer Asset Management Working Group and the Corporate Property Steering Group).

1.4 The key priority of **The Fund** is to increase the income/revenue for **The Council** in a safe and secure way.

1.5 To support this **The Council** in a coordinated manner will seek to optimise utilisation of its property portfolio and to improve the portfolio. By restructuring the portfolio it will also generate capital receipts through disposal of surplus and/or inefficient assets which can be used for reinvestment.

1.6 The ongoing implementation of this strategy is to continue both to increase the size and improve the quality of the portfolio with the result that future financial performance will make an increasing contribution to the financial resilience of **The Council** and the wider Leicestershire economy.

1.7 The commercial and farm investments have played an increasingly important and valuable role for **The Council**. Capital receipts from sales have made a significant contribution to **The Council's** capital programme.

1.8 **The Council** also invests in Pooled Property Funds which provide an annual yield to support the overall revenue position.

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1.9 It is recognised that it is necessary to continue re-investing into the property portfolios to ensure they continue to perform at current high levels and to enhance **The Council's** financial resilience in the longer term as well as delivering other benefits, such as economic development and/or regeneration.

1.10 **The Fund** will be used to add to **The Council's** portfolio of property and land assets including County Farms, commercial industrial properties and the pooled investments with a view to:

1) Ensuring that there is a more diverse range of properties available to meet the aims of economic development
2) Increasing the size of the portfolio
3) Improving the quality of land and property available
4) Ensuring the sustainability of the County Farms and industrial portfolio by replacing land sold to generate capital receipts and
5) Providing a revenue income stream that can be used to support ongoing service delivery.

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2. Legal context and monitoring

2.1 Section 12 of the Local Government Act 2003 (the 2003 Act) provides a general power to invest: -

2.2 "(a) for any purpose relevant to its functions under any enactment or
(b) for the purposes of the prudent management of its financial affairs"

2.3 The power in Section 12 (a) cannot be used for investing purely to create a return as this is not considered to be a purpose relevant to the Council's functions whereas the power in Section 12 (b) may be used for investing to create a return as it may be prudent when used with other measures to manage the Council's financial affairs.

2.4 The Council will continue to ensure the prudent management of its investments and for giving priority firstly to the security of the capital.

2.5 The Council will ensure that there are procedures for monitoring, assessing and mitigating the risk of loss of invested sums.

2.6 Effective management and control of risk are prime objectives of the policies and procedures. They will form part of the Risk Register for the managing department.

2.7 Section 120 of the Local Government Act 1972 (the 1972 Act) provides the power for acquisition of land by agreement (whether inside or outside the authority's area) for the purpose of:

2.7.1 Any of their functions under this or any other enactment, or
2.7.2 The benefit, improvement or development of their area

2.8 Acquisition can take place notwithstanding that the land is not immediately required for that purpose.

2.9 It should be noted that further power is conferred upon an authority by The Localism Act 2011 (the 2011 Act). Section 1 of the 2011 Act introduced a new General Power of Competence. Under the provision, a local authority has the power to do anything that individuals generally of full legal capacity may do. The Act is widely drawn and includes reference to commercial activities and does not have to be of benefit to the local authority's area.

2.10 However, the Localism Act requires that any Council's actions being done for a "commercial purpose" must be done "through a company", principally being a company within the meaning of s.1 (1) Companies Act 2006. Usually where a separate legal entity is established, there will be corporation/income tax and VAT considerations.

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2.11 The approach is that The Council will rely on the 2003 Act for its power as this will not require the setting up of a company for its investment activities.

2.12 The Director of Finance will ensure that risks of loss through fraud, error, corruption or other eventualities in its dealings are mitigated as far as is practicable and ensure that there are suitable systems and procedures to these ends.

2.13 The Director and officers are alert to the possibility that it may become the subject of an attempt to involve it in a transaction involving the laundering of money. Accordingly, it will maintain procedures for verifying and recording the identity of counterparties (in this case, this will generally mean tenants) and reporting suspicions, and will ensure that all members of staff involved in this are properly trained.

2.14 Items that will be regularly reviewed: -

1) Powers to own property investments

2) Money laundering risks

3) Property fraud risks

4) Changes to property legislation (e.g., Energy Act)

5) Appropriate third party checks before transacting

6) Due diligence in transactions

7) Keeping abreast of impact of legislative changes

2.15 Full records of the purchase process will be kept in a separate file relating to the property and these records shall include details as to the valuation relied on in making the decision to acquire, the financial appraisal together with consents, approvals and papers recording decisions taken under delegated powers. Such documents will form part of the public record.

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3. Investment Strategy Decisions

3.1 **The Fund** will acquire both parcels of land for development and standalone income producing investments. The balance of investment between these two assets should form part of the regular reviews of **The Fund**.

3.2 Once liquidity (the ability to ensure (as far as is practicable) that should the Council wish to divest itself of the assets without incurring loss) has been confirmed, the following criteria will be used in the decision-making process:

1) Security of principal capital (both for land acquisition and development/construction)

2) Return on investment (Revenue and Capital separate)

3) Sensitivity analysis (returns pre and post rent reviews, voids assumption, end of life repair/disposal etc.)

4) Suitability of the tenant (including financial standing) and the use to which the asset will be put. (This will be tenant-specific in terms of acquiring an asset and a policy regarding future tenants/uses when considering a development site)

5) Condition of the building at purchase and future maintenance requirements (whole life costs)

6) Tenure of the interest being offered (freehold, leasehold, etc.)

7) Any legal issues (restrictive covenants etc.) with regard to the title of the land/property

8) Any potential liabilities (such as land contamination/asbestos)

9) Sustainability (the energy performance of the property and its use)

10) The location of the property

11) Full cost of the acquisition (land value, fees, end of life costs etc.)

12) Fit with the current portfolio

13) Exit strategy – cover things going well (bank returns) and badly (cut losses, what are the highest value alternative uses of the asset, likelihood and speed of re-letting (especially for a bespoke building))

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3.3 Once an asset has been identified, it should be considered as objectively as possible to ensure that the overall aims of **The Fund** are achieved in a coordinated and measured way.

3.4 The adequacy of the estimated financial return will be judged against the certainty of the return materialising, with riskier investments expected to demonstrate the potential for higher returns.

3.5 To support the decision making process it is expected that expert external advice will be required in the following areas:

1) Legal aspects of the proposal (lease terms, historic liabilities etc.)
2) Condition surveys
3) Report on the industry and location

3.6 Any investment opportunity is to be considered with particular reference to: -

3.7 Actual Income: The income produced by the asset is the most important element of a potential acquisition. The income from an asset is governed by the lease length, rent review pattern, break options, vacancy rates and management costs.

3.8 Development potential income: The total income assumed the site is fully developed (with cash flow timescales)

3.9 Tenant: The financial standing and viability of any existing tenants' covenants is to be considered.

3.10 Location: More weighting is given to acquiring assets or land in an area that is viewed to be economically buoyant and has the ability of sustainable financial and economic growth, over the life time of the investment.

3.11 Sector: The strength of the investment or development sector should be considered in relation to its location, rather than in isolation. (E.g. a hotel in Leicester would be scored lower than a hotel in London).

3.12 Building: The age and construction of any existing buildings should be taken into account in the decision-making process. This should include how energy efficient the building/s is/are. The potential for future structural repairs, retro fits and refurbishment expenses for both **The Fund** and the occupiers should be limited as much as possible. **The Fund** should not purchase a property let on a term which exceeds the economic life expectancy of the buildings.

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3.13 The portfolio also needs to be mindful of the ratio of investments within and without of the county.

3.14 **Fund size**

The Fund will have an initial investment ceiling of £200 million, at current values. **The Fund** celling to increase in line with RPI to give real terms numbers. Whilst there is no target capital growth figure there is an income producing target of £10m+ per annum within 5 years. Each investment decision on how it is funded will be defined by the Council's Treasury Management strategy.

Existing Fund Holdings and Potential Future Funding		**£m**	**£m**
Current Holdings	• Rural Estate • Commercial Estate • Pooled Investments	23.8 12.0 25.0	**60.8**
Planned Investments in 2017-2021 MTFS	• Airfield Business Park • Coalville Workspace	7.5 7.7	**15.2**
Further Investments	• Lutterworth East • LUSEP • Leaders Farm • Tamworth House • Lichfield South • Fees estimate on above	4.5 22.0 6.0 2.4 10.8 2.3	**48.0**
Other sources of funding including reviewing existing earmarked reserves, further MTFS contributions, capital receipts and borrowing			**76.0**
			200.0

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4. Risk, Yield profile and Sectors in which to invest (Portfolio mix)

RISK

4.1 The strategy must consider what return is required from the capital that is invested.

4.2 **The Fund** is only being used to acquire property investments (where **the Fund** is purely buying an income stream), property development sites (where **The Fund** will be involved in finding tenants and building schemes out) or other property/land (where there is an expectation of a capital gain). This could be either directly or part of a managed fund. It is not considering, at this stage, investing in other investable assets (commodities, FTSE shares etc.). Also, it is unlikely to include operational property that is being disposed of when it is no longer required and has no development potential.

Investment Risk

4.3 The main risk with any property investment lies with the ability to maintain the income stream by ensuring that the tenant is of good covenant and financially secure.

4.4 If the tenant defaults then whilst there are procedures to recover the rent, this is not guaranteed.

4.5 There are also issues with voids (periods of time when the investment is not income producing but the asset is incurring costs such as insurance, security, business rates, repairs etc.).

4.6 The ability to attract tenants of sufficient quality/sound covenant will also be affected by the macro-economic situation and also more regional/location factors.

Development Risk

4.7 The risks associated with developing property (rather than acquiring an already-built property investment) are higher and this is reflected in the potential returns.

4.8 Build cost over runs and delays during the pre and the main construction phases will directly affect the profitability of the scheme and (as above) the risk of not having a tenant to pay the rent is higher when dealing with new builds.

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4.9 This can be mitigated by not building speculatively but only with an Agreement to Lease in place with an occupier tenant. However, this may not always be the best strategy as some prospective tenants may wish to see the building in place first before entering into a contract. Each of these scenarios will be judged on a merit basis as they arise.

4.10 Officers will continue to keep the Director of Finance updated on projects to ensure that risks are monitored, eradicated or mitigated where possible.

4.11 **Financing Risk**

4.12 The returns generated by **The Fund** need to reflect the potential for the principal invested to reduce and the lost liquidity. A minimum total property return nominal return of 6.1% is suggested (3.5% green book * 2.5% average inflation). This should be reviewed at least annually for changes in the opportunity cost of the Council's resources (e.g. borrowing) and other factors such as inflation and returns available elsewhere.

4.13 Decisions relating to the financing of investment and/or development should be taken in line with the Council's Treasury Management Strategy Statement and Annual Investment Strategy.

4.14 **Reputational Risk**

4.15 It is important that the reputation of the council is protected during both times of financial restraint and otherwise in the investments that it makes.

4.16 **YIELD PROFILE**

4.17 The level of yield required will need to balance security and liquidity. The term Yield can be defined as:

4.18 *The annual return on an investment, expressed as a percentage of the capital value*.

4.19 So for example, the annual return on a property investment is currently £50,000 a year gross. If the property has been valued at £1,000,000 then the revenue yield is 5%:

$$\text{Yield} = \frac{\text{Annual Rental Income}}{\text{Capital Value}} \text{ X } 100$$

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$$5\% = (50{,}000/1{,}000{,}000) \times 100$$

4.20 However, in addition there is also the potential capital yield which reflects how the market price of an asset changes over time. If for example the market price of the £1,000,000 investment had risen to £1,025,000 by the end of the first year, this would give a capital yield of 2.5% and a combined yield of 7.5%.

4.21 The yield figure will reflect the various risks involved in letting a property to a tenant. By and large, the higher the level of uncertainty (e.g. tenant with a poor credit rating) the higher the expected yield would need to be before the investment was considered.

4.22 The average/balanced target property yield for investments made in the commercial portfolio is 7% nominal. There will be costs incurred in managing The Fund and also costs associated with abortive work (consultant work/staff time unsuccessful acquisitions bids)

4.23 Individual lot sizes (£) can be considered each on their merits as long as they conform to the agreed overall portfolio mix.

4.24 Assuming that investment/development property is the only asset class of investment that is being considered, the overall return of a standalone investment will vary depending on the market sector, the nature of the property asset acquired and the characteristics of the tenant in the acquired property.

4.25 Whilst aiming for a yield of 7%, **The Fund** will seek to invest in a balanced way over several market sectors in accordance with the following profile:

Market Sector	**Commercial**					**Agric.**	**Pooled**
	Retail	**Office**	**Industrial**	**Leisure**	**Distribution**		
Expected Yield (%)	5-7%	6-9%	7-10%	6-8%	6-8%		7%
Current Holding (%and £)	0% £0	20.7% £2.5m	72.8% £8.7m	0% £0	6.5% £0.8m	£23.8m	£25.0m
% Minimum of total	5%	10%	40%	0%	5%		

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portfolio							
% Maximum of total portfolio	15%	20%	65%	15%	15%		

Note: The current holdings exclude the undeveloped land at Airfield Farm Business Park.

Internal Rate of Return

4.26 Whilst yield is a useful measure for assessing the merits of an investment, yield will change over the life of an investment. To give a longer term perspective, the Internal Rate of Return (IRR) is a metric that is used to assess the strength of an investment. The IRR is the interest rate at which the net present value of all cash flows arising from an investment is equal to zero. In calculating an estimated IRR a number of assumptions need to be made in terms of projecting future expenditure and income streams including the future capital value of the investment holding. As a guide though a minimum IRR of 7% is a high level assessment for whether an investment is worthwhile.

Other Balancing Factors

4.27 Other balancing factors are to be reviewed regularly (with the following approximate targets) are:

Location	In County		Out of County	In terms of amount of fund invested.
	75%		25%	
Asset type	Development site		Standalone investment	In terms of amount of fund invested.
	75%		25%	
Tenant Risk	Low	Medium	High Risk	Look for spread of risk (higher risk for small industrial units, low risk for large office investments/developments)
	25%	50%	25%	
Lease length	Short <5 years	Medium 5-10 years	Long 10 years +	Look for spread of leases lengths (shorter for small low value assets, longer for high value investments/developments
	25%	50%	25%	
Single Asset Investment size			Maximum (%age of fund size)	Very small investments will take up too much management time

	10%	compared to their value. Investments over 10% of **The Fund** size will expose **The Fund** to too much risk

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5. ACQUISITION PROCESS

5.1 Planning and Highways

5.2 After the identification of an asset, it will be incumbent on the team managing **The Fund** to establish whether there may be constraints on the development or use of the asset.

5.3 In some cases, it may be appropriate to seek planning permission for a form of development prior to acquiring land. **The Fund** team will consult with planning and highways colleagues (and external consultants) and other departments as appropriate to decide whether planning permission should be sought prior acquisition (conditional contract).

5.4 As part of this consultation, advice will be sought on suitable alternative uses for the site/asset Should the existing or proposed use become unviable in the future, it is useful to have an alternative use value. The relative monetary risk of the investment can be quantified using this information.

5.5 Legal

5.6 Contemporaneously with the planning audit, LCC legal Department will be asked to undertake title searches of the land to ensure that the title is clean and there are no abnormal issues with the land from a legal perspective.

5.7 Any proposed tenant will also be credit checked at this stage.

5.8 Valuation

5.9 Valuation advice will usually be provided by a professionally qualified member of **The Council's** Estates team. Where the advice required is particularly specialist or, if otherwise appropriate, valuation advice may be provided by another suitably qualified external surveyor.

5.10 Appraisal and Funding Approval Process

5.11 When an opportunity is first introduced, the investment is subject to a 2-stage process.

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5.12 The first phase of determining whether or not the opportunity is worth proceeding with consists of a number of separate assessments: -

1) Strategic Fit
2) Risk Profile
3) Yield Profile
4) Tenancy Terms
5) Planning Overview
6) Site Inspection
7) Potential capital Growth
8) Valuation

5.13 First phase will also involve alerting finance, legal, planning, Operational Property Services and the CAIF Advisory Board.

5.14 Once the asset/site has passed the initial evaluation, a financial appraisal and business case will be prepared to establish the financial/budgetary implications of acquiring the property at the negotiated price.

5.15 An independent property advisory firm will also be consulted on the opportunity and their report made know to the CAIF Advisory Board.

5.16 The aim of the financial appraisal and business case will assess how the acquisition will perform, it will look at all the costs and any potential income, the associated risks and then assess whether the asset is a suitable acquisition from a financial perspective. This will be led by the Strategic Finance Service.

5.17 This strategy places emphasis on adopting procedures that are open, transparent and consistent. It aims to ensure maximum benefit from the effective purchase and subsequent management of **The Council's** assets. Within this framework, **The Council** and **The Fund** must act within the appropriate legal framework, act in a demonstrably fair and open manner and consider whole life costs.

5.18 **Approval to Acquire/Develop**

5.19 On reaching agreement as to the terms of acquisition, a report is to be prepared for consideration by the Corporate Asset Investment Fund Board (**The Board**). Subject to the Board's support purchases will be progressed using the Director of Finance's

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delegated powers. This report will consider if the acquisition is in accordance with agreed **Council** priorities and within **The Council's** approved CAIF Strategy.

5.20 All acquisitions shall have the necessary budgetary and relevant approvals before the acquisition is completed.

5.21 The construction costs for any development proposals will also require **Board** support and Director of Finance approval as **The Board** may be asked, in the case of a development site, to support the initial acquisition of a development site and it is likely that there will be subsequent requests to either install infrastructure, construct of buildings and also to approve agreements with prospective tenants. In summary, if a decision has a greater than de Minimis financial value (in the view of the Director of Finance), **The Board** will be consulted beforehand.

5.22 **Surveys and instructions**

5.23 When all appropriate surveys (which must include an Asbestos Survey where the purchase involves a building erected prior to 1999) have been satisfactorily completed or provided, **The Council's** Legal Services team will be instructed to complete the documentation associated with the acquisition.

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6. Performance Monitoring/Benchmarking

6.1 CIPFA guidance states that:-

6.2 ***"Performance measurement*** *is a process designed to calculate the effectiveness of a portfolio's or manager's investment returns or borrowing costs, and the application of the resulting data for the purposes of comparison with the performance of other portfolios or managers, or with recognised industry standards or market indices."*

6.3 It is clearly important to monitor performance to ensure that the judgements being made are the right ones.

6.4 **The Fund** is subject to regular valuations – quarterly – with a regular review of investment methods as well as the delivery models. This will also include a regular assessment of the credit worthiness etc. of **The Fund's** tenants.

6.5 There should be an annual analysis of the portfolio mix and re-profiling of the portfolio. This includes the current estate as well as new acquisitions. There will be more regular reviews in changeable/volatile economic circumstances.

6.6 **The Fund** should continue to consider its exposure to macro and local economic downturns and monitor financial market commentaries and reviews on the likely future courses of interest rates, exchange rates and inflation and their potential impact on the property market and yields. **The Fund** should allow sufficient flexibility both to take advantage of potentially advantageous changes in market conditions and to mitigate the effects of potentially disadvantageous changes.

6.7 **The Fund** currently uses the Investment Property Databank (IPD) Benchmark as its performance yardstick.

6.8 Officers will report regularly to the Director of Finance and there will be annual updates to Cabinet and to the Scrutiny Commission.

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7. Staff resources

7.1 **The Fund** is managed by the Head of Service with support from colleagues in Strategic Property Services. The Director of Finance will ensure that there are adequate resources employed to ensure **The Fund** is managed in a safe and productive manner.

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8. Ongoing Fund activity

8.1 The key elements of the strategy to be pursued are as follows:-

8.2 To continue to enhance the size and underlying quality of the portfolio by :-

1) Making further strategic purchases

2) Developing new investment properties on **The Council** owned development land or newly purchased sites by the marketing of both premises to let and ground leases;

3) Redeveloping existing underperforming properties to provide premises that meet current market expectations and achieve a higher economic return;

4) Reviewing the performance of individual assets / estates on an annual basis and disposing of properties where performance cannot be improved to an acceptable level reinvesting sale proceeds into the portfolio (a recommendation from **The Board** will be required for a disposal);

5) Appointing an investment agent to coordinate the inflow of investment opportunities and to ensure we do not miss out on any off or on market opportunities. Fees ranging from 0.5% -1% of the purchase price may need to be paid to the agent. If introduced by a third (non-appointed) party agent, the fee is to be shared between them

8.3 To maintain progress in the restructuring and rebalancing of the portfolio in order to move towards achieving the optimum split between sectors.

8.4 To produce a rolling four year financial strategy aligned to the MTFS to identify future investment requirements to support an ongoing programme of investment projects and strategic acquisitions together with a disposals programme (to support both investment within the portfolio and the wider capital programme).

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Appendix A

Schedule of Properties and Values

Rural Estate

ESTATE	Asset Valuation
Asfordby	£89,181
Barlestone	£12,544
Blaby	£262,828
Boundary	£80,386
Broughton Astley	£904,566
Burton on the Wolds	£96,316
Cotes de Val	£656,770
Countesthorpe	£92,980
Croft	£57,138
Dunton Bassett	£124,230
Frolesworth	£245,838
Gilmorton	£361,071
Heather	£96,073
Hinckley	£107,800
Hoby	£340,526
Husbands Bosworth	£648,489
Ibstock	£2,633,640
Kilby	£1,225,500
Kimcote	£1,263,689
Lutterworth	£57,933
Measham	£82,449
Melton Mowbray	£1,074,473
Misterton	£1,856,124
Mowsley	£333,818
Narborough	£332,484
Oakthorpe	£588,000
Osbaston	£51,674
Packington	£211,345
Peatling Parva	£255,759
Quorn	£532,134
Ravenstone	£2,195,350
Sapcote	£986,777
Somerby	£66,076
Stapleton	£329,283
Stoney Stanton	£198,802
Thorpe Satchville	£402,137
Tilton on the Hill	£117,588
Ullesthorpe	£44,723
Total	**18,544,893**

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Commercial Estate

ADDRESS	Asset Valuation
Ivanhoe Industrial Estate, Ashby De La Zouch	£882,463
Atlas Court, Atlas Road, Coalville	£779,635
Unit 18 Atlas Road, Coalville	£1,086,937
Unit 1 & 2 Atlas Road, Coalville	£630,902
Coalville Business Centre, Coalville	£110,305
Oaks Industrial Estate, Coalville	**£61,247**
Springboard Centre, Coalville	£310,000
Phase 1 Stephenson Court, Coalville	£123,110
Phase 2 Stephenson Court, Coalville	£212,200
Transport Depot, Vulcan Way, Coalville	£830,345
Vulcan Court, Coalville	£1,523,468
Workspace 17, Coalville	£424,685
Phase 1 Huntingdon Court, Measham	£240,519
Phase 2 Huntingdon Court, Measham	£160,395
Riverside Court, Measham (inc. compound)	£685,867
Oaks Industrial Estate, Earl Shilton	**£30,882**
Alan Bray Close, Hinckley	£804,432
Oaks Industrial Estate, Loughborough	**£19,697**
Loughborough Technology Centre,	£2,186,153
43 Garendon Road, Shepshed	£60,005
Courtyard Workshops, Market Harborough	£604,251
Oaks Industrial Estate, Narborough	**£182,579**
Measham Repton Road	£588,000
Quorn – Poole Farm employment sites	£119,330
Coalville Telford Way	£95,000
Billesdon	£135,000
Market Harborough, Airfield farm	£3,360,000
Lutterworth South	£23,662
Total	**£16,226,069**

NB: Estates highlighted in bold are held on a long leasehold basis.

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Appendix B

Approval Template

<table>
<tr><td colspan="2">INVESTMENT APPRAISAL REPORT</td></tr>
<tr><td>Property</td><td>Address</td></tr>
<tr><td>Date of Report</td><td>-/--/----</td></tr>
<tr><td>Description</td><td>Site description and deal</td></tr>
<tr><td>Tenure</td><td>Freehold/long leasehold etc.</td></tr>
<tr><td>Proposed Purpose of Acquisition</td><td>Reasons for asset acquisition.</td></tr>
<tr><td>Valuation Summary</td><td>Basis of valuation and amount.</td></tr>
<tr><td>Level 1 Appraisal</td><td>Portfolio Balance

Property Type
<table>
<tr><th>Sector</th><th>Current</th><th>Post-Acquisition</th><th>Long Term Policy Range %</th></tr>
<tr><td>Industrial</td><td></td><td></td><td></td></tr>
<tr><td>Offices</td><td></td><td></td><td></td></tr>
<tr><td>Rural</td><td></td><td></td><td></td></tr>
<tr><td>Other Commercial</td><td></td><td></td><td></td></tr>
<tr><td>Ground Leases</td><td></td><td></td><td></td></tr>
<tr><td>Total</td><td>100%</td><td>100%</td><td>100%</td></tr>
</table>
Risk Profile
<table>
<tr><th></th><th>Normal Risk (%)</th><th>Higher Risk(%)</th></tr>
<tr><td>Optimum</td><td>80-90</td><td>10-20</td></tr>
<tr><td>Current</td><td></td><td></td></tr>
<tr><td>Post Acq.</td><td></td><td></td></tr>
</table>
Yield
<table>
<tr><td>Asset Category</td><td></td></tr>
<tr><td></td><td>Yield</td></tr>
<tr><td>Market</td><td></td></tr>
<tr><td>Portfolio</td><td></td></tr>
<tr><td>Subject Property</td><td></td></tr>
</table>
Location
Lot Size
Conclusion</td></tr>
</table>

DRAFT

	Progress to Level 2 appraisal
Risk Analysis Summary	Detail risks associated with the proposed acquisition.
Future Outlook	
Level 2 Appraisal (incorporating Finance Team comments)	As part of the Phase 2 appraisal a detailed business case is required. The business case takes account of the investment required to establish a letting opportunity (relatively nominal) following acquisition. The business case to shows the following outcomes:- • Initial yield - • IRR - • Capital growth potential (where applicable) Conclusion
Advisor Comments	External advisor comments: Legal comments: - Planning comments:- Highways comments:- Site/Building Surveyor reports:-
Recommendation	To proceed with suggested ceiling of offer
Appendices	Plan Marketing details

DRAFT

APPENDIX B

DELEGATIONS TO THE DIRECTOR OF CORPORATE RESOURCES - PROPOSED AMENDMENTS TO NOS. 8 AND 10

8. Property Management

	Existing	Proposed	Explanation
(i)	Power to agree and review as appropriate terms for the granting, taking or surrender of any lease, tenancy agreement, hiring arrangement, occupational or other licence of land owned or required by the County Council, subject to any rent of land owned by the County Council being assessed on an open market basis, unless the Director is satisfied a lesser rent or user charge will be beneficial to the local community;	Power to grant, take, surrender, agree, review, vary or otherwise deal with as appropriate any lease, tenancy agreement, hiring arrangement, occupational or other licence of land owned or required by the County Council, subject to any rent of land owned by the County Council being assessed on an open market basis, unless the Director is satisfied a lesser rent or user charge will be beneficial to the local community;	Removal of the words '*terms for'* to make it clear that leases may be approved under delegated powers.
(ii)	Power in respect of county farms to select tenants and sell milk quotas in accordance with any legislation in force for the time being;	(No change)	
(iii)	Power to agree assignments and the granting of underleases by tenants and to consent or object to improvements carried out by tenants;	(No change)	
(iv)	Power to approve plans whether as landlord or vendor for development of land;	(No change)	
(v)	Power to agree to the granting, taking or surrender of any easements over land;	Power to grant, take, surrender, agree, review, vary or otherwise deal with as necessary any easements, charges or other interest over land.	To clarify powers in respect of the proper management of land.
(vi)	Power, subject to consultation with the Director of Law and Governance, to serve Notices to Quit or to terminate for any purpose.	(No change)	

10. Sales and Acquisitions

	Existing		Proposed	Explanation
(i)	Power to declare land surplus to requirements, to dispose of it and earmark the proceeds of sale where required for another facility;		(No change)	
(ii)	Power to dispose of land at less than the best value which might reasonably be expected, where either the undervalue is considered to be de minimis or the Director is satisfied the disposal will meet the wellbeing test in the General Disposal Consent in force for the time being, and the following criteria:		(No change)	
	(a)	A positive business case for the proposed disposal/transfer;		
	(b)	The proposed use is demonstrated through the business case to be more beneficial to the wider community and locality than alternative uses;		
	(c)	The proposed means of transfer is the most effective way to realize the benefits being sought;		
	(d)	The County Council's interest is protected by appropriate safeguards.		
(iii)	Power to authorise the change of use of property;			

<table>
<tr><td>(iv)</td><td>Power to purchase land for schemes within the approved capital programme or for other purposes up to a maximum of £2m per transaction, to take all necessary steps to complete the purchase of land following the making of a Compulsory Purchase Order and to acquire replacement land where required by statute (e.g. for a replacement recreation/sports facility) in order to achieve the best value disposal of an asset;</td><td colspan="2">In respect of the purchase and development of Operational Properties (i.e. properties for schemes within the approved Capital Programme), power to -</td><td>To refer to land within the approved capital programme, and for clarity.</td></tr>
<tr><td></td><td></td><td>(a)</td><td>Purchase and develop land for schemes within the approved capital programme;</td><td></td></tr>
<tr><td></td><td></td><td>(b)</td><td>To take all necessary steps to complete the purchase of land following the making of a Compulsory Purchase Order;</td><td></td></tr>
<tr><td></td><td></td><td>(c)</td><td>To acquire replacement land where required by statute (e.g. for a replacement recreation/ sports facility) in order to achieve the best value disposal of an asset.</td><td></td></tr>
<tr><td>(v)</td><td>Power to agree accommodation work and allied or associate matters where land is acquired for statutory purposes, subject to the costs being met from the approved capital programme, or as agreed in consultation with the Chief Officer of the Department for which the land has been acquired;</td><td colspan="2">(No change)</td><td>Correction to the numbering (there are two (iv)s, to (v)).</td></tr>
<tr><td>(vi)</td><td></td><td colspan="2">In respect of the purchase and development of Investment Properties, power, following consultation with the Corporate Asset Investment Fund Advisory Board, to agree to purchase and develop land using funding allocated to the Corporate Asset Investment Fund (CAIF) and/or for Future Developments provided that such decisions are in line with the CAIF Strategy.</td><td>New (vi).
To refer to land for investment purposes.</td></tr>
<tr><td></td><td colspan="4">Note: References to “land” in the above paragraphs include buildings, as well as existing and new rights and interests in both land and buildings.</td></tr>
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Continuous Improvement Plan 2017-2020

The Road to Excellence

Our vision - Leicestershire is the best place for children and families

What we'll do

Our priorities

- High quality evidence-based practice
- Strong and effective management oversight

Our focus

We will:

- Ensure consistently good services for children and their families
- Engage them in a timely and proportionate way to bring about better outcomes
- Enable families, when safe to do so, to successfully parent their children
- Enable children to live within their family network
- Provide good quality care when children need to be looked after
- Act in a timely way to provide permanence for children who cannot be kept safe by their families
- Robust commissioning and contract compliance

How we'll do it

Embedding excellent practice

Consistent use of signs of safety model

Application of our practice framework

Application of new work standards

Inclusive practice

High quality of assessment planning and recording

Rigorous decision making

Quality supervision

Compliant commissioning and contracting

Taking the right action, at the right time

Ensure a strong 'front door'

Achieving permanency for children

Quality pathway plans

Good post adoption and therapeutic support

Young people enjoy education, employment and training

Help to keep families together

Being a learning organisation

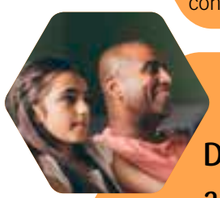
Quality assurance framework

Develop progression routes for social workers and managers

Learning from improvement activity

Clear communication disseminates learning

Workforce strategy supports a learning organisation



Developing policy and performance

Review and improve key policy documents

Effective use of accurate data

Effective management oversight

Appropriate caseload size

What success will look like

- Increase in number of school age children who receive specialist support for emotional wellbeing
- Performance indicators evidence improving outcomes for children and young people
- Routine audit shows consistent application of thresholds, improved quality of assessment and care planning and strong management oversight at all stages of a child's journey
- Feedback from children, young people and families evidences quality and positive impact of interventions
- All of the above are clearly influencing service design and delivery
- % of children subject to a repeat child protection plan for a second or subsequent time reduces year-on-year
- Length of time children are subject to a child protection plan reduces year-on-year
- Length of time that children are looked after before a permanency decision reduces year-on-year
- Number of appropriate and proportionate post adoption support packages increases year-on-year
- Number of support packages offered to birth parents increases year-on-year
- Proportion of children in care and care leavers in education, employment or training increases year-on-year
- Improved timeliness from contact to completion of assessment
- % of children remaining in the same placement for three years or more

Four behaviours that underpin everything

Voice

Listening to and responding to what the child and family tell us

Signs of safety

'Doing with' and not 'doing for' or 'doing to'

Outcome focussed

Striving to improve children's and families' lives

Leadership

Everyone is responsible and accountable

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Appendix B – Progress of the Ofsted Continuous Improvement Action Plan Submitted to Ofsted

1. Being a Learning Organisation			
Objective /Ofsted Ref	**Actions Submitted to Ofsted**	**Progress**	**Further Work**
a. Develop a quality assurance framework for children's social care Ofsted Refs : 1-17	Agree a Quality Assurance framework to govern all work that is called 'Growing Quality'. Growing Quality will set out the range of improvement activity required for 2017 to monitor and drive all improvement work. All quality assurance activity will be within Growing Quality and directly feed into Learning and Development of individuals and teams. As part of the framework an audit model is to be developed that will include: • Evidence of consistent use of thresholds, improved quality of assessments, care planning and strong management oversight at all stages of child's journey. • Mentoring and learning opportunities for social workers, team managers, service managers and heads of service. • Feedback from children, young people and families that evidences the quality and positive impact of interventions Establish additional Quality Assurance posts to deliver QAIF activity and oversight.	A Quality Assurance framework called 'Growing Quality' was published in June 2017 and launched at the Social Work Conference. The framework sets out the range of improvement activity that drives all improvement work and directly feeds into the Learning and Development of individuals and teams. Within Growing Quality is the agreement that all teams and services should have protected reflective learning time once a month and resource materials are being created to help managers facilitate these, starting with the Neglect theme. As part of the framework, an audit model is being tested that: • Evidences consistent use of thresholds, improved quality of assessments, care planning and strong management oversight at all stages of child's journey. • Provides mentoring and learning opportunities for social workers, team managers, service managers and heads of service. • Incorporates feedback from children, young people and families that evidences the quality and positive impact of interventions This audit framework is currently being piloted in First Response with a focus on the quality of assessments. Growing Quality is directly supported in Social Care through two quality assurance posts that have been made permanent through CFS' funding growth bid.	The evaluation of the pilot learning audit on assessment standards will be presented to SMT on 17th August alongside recommendations for the future operating model for auditing and practice development. The agreed model for auditing and practice development will be rolled out to all service areas in CSC from September to December 2017. Themed audits will take place on a quarterly basis. We will be recruiting to CSC Quality Assurance and Practice Excellence posts over September 2017.
b. Develop a clear learning programme for social work staff - from induction to exit Ofsted Refs : 17	Use the Practice Development group to develop and embed practice standards for practice and management across the workforce. Agree shared post with Learning and Development (L&D) to support social work learning pathway Review and consider infrastructure needed to support this work Consideration given to develop 'social work academy' and 'grow your own' approaches to ensuring a sustainable workforce	The Social Work steering group has been re-established and targeted support to ASYE workers began in December 2016. A review of ASYE training was also completed in April 2107 and a new model of training is being prepared and will be presented shortly. A review of the current learning and development offer for the department is underway to inform a revised offer linked to the knowledge and skills framework for social workers. Successful bidding for EIP means that a shared post with Learning and Development has been appointed to further embed the Signs of Safety methodology. . CFS also established a practice leaders group known as the Practice Development Group to help ensure staff are influencing and shaping practice development. This group has actively contributed to the development of practice standards for both practice and management across the workforce. Routine exit interviews with social workers are helping build understanding of both recruitment and retention.	A new service area, Practice Excellence, is soon to be established in the department as a result of the recent growth bid. This team will be critical to providing tailored support to the social workers workforce to strengthen practice skills and build confidence. Work with learning and development and adult services will develop an approach to building a sustainable workforce through a 'grow your own' approach. Work to develop a recruitment and retention policy for this workforce is underway.

1. Being a Learning Organisation			
Objective /Ofsted Ref	**Actions Submitted to Ofsted**	**Progress**	**Further Work**
		The first annual social work conference was delivered in June 2017.	
c. Develop approach to social work progression and accreditation at all levels Ofsted Refs : 17	Develop a methodology to implement the social work reforms and build career pathways for Leicestershire	Scoping work with colleagues from learning and development including work to learn from other areas has begun to shape a future pathway. Information on the reforms and future accreditation was presented to staff at the first annual social work conference.	We will consult widely on a new social work progression pathway through the appointment of a Principal Social Worker. The introduction of a robust gateway via a progression process and panel arrangement will be developed.
d. Strong leadership to create learning culture Ofsted Refs : 1-17	Extended Senior Management Team (SMT) to set standard and lead on implementation. Ensure there is good two-way communication between managers and staff to disseminate and embed learning from all improvement activity. Use good practice examples identified through inspection and audit to assist shared learning to build on good practice.	A number of forums that facilitate a learning culture have been established, including the Practice Development Group, monthly performance management meetings, monthly practice development meetings and the Social Work conference. Such forums complement the range of communication mechanisms, like the Extended Senior Management Team (SMT), WikiLeeks, Yammer and the weekly email bulletin. The agreement for monthly protected learning times within teams and services will be used for sharing good practice and deliver key practice development priorities. The department has agreed with corporate Learning and Development to provide training for team mangers on leadership with one session already delivered.	There will be further work with Learning and Development to deliver bespoke training on leadership and management for all tiers of managers. A conference for all managers is being arranged for December/January as part of this developmental strand.

2. Embedding Excellent Practice			
Objective /Ofsted Ref	**Actions Submitted to Ofsted**	**Progress**	**Further Work**
a. Fidelity to the Signs of Safety model Ofsted Refs : 6	Involve practice development group in ensuring fidelity to model. Establish posts within the infrastructure which will support practice development (advanced practitioners)	Work has continued to deepen Signs of Safety through the newly established Practice Development Group, and a dedicated lead role jointly funded by the department and corporate Learning and Development. This role has focused on the introduction of the SoS approach in First Response. Materials to support workers in relation to their SoS practice have been made available on the Learning Hub. Good levels of attendance at quarterly practice leads sessions ensure all those with a practice leadership role can learn and practice together. Advanced Practitioner posts are out to advert.	The successful EIP bid means that the second stage of implementing SoS will begin from Sept 2017. Reference material used to support SoS practice will be updated nationally and locally. The appointment to the posts of Principal Social Worker and Advanced Practitioners will provide opportunities to coach and mentor staff with particular aspects of practice development. .
b. Application of practice framework, quality statements,	Ensure workforce strategy includes the practice framework and is embedded in day to day business. Consultation and launch with all managers	Cabinet agreed the departmental Practice Framework in 2016. This has been widely distributed and sets out clearly how we work with children and families in Leicestershire.	Introduction to the framework will be included in the new starters' induction process.

2. Embedding Excellent Practice			
Objective /Ofsted Ref	**Actions Submitted to Ofsted**	**Progress**	**Further Work**
practice standards and management standards Ofsted Refs : 6	Ensure consistency in using existing standards where there are gaps. Practice standards developed. Examples of good practice shared across the Service.	This has been used in the development of a coherent document for workers describing how we intend to 'grow quality' in social work practice. The framework is also underpinning activity planned in the workforce strategy. Quality statements were published as part of Growing Quality, whilst practice and management standards are being refined through quality assurance activity, beginning with the assessment process. Other areas for which practice standards are being developed include: • Contact and referral • Strategy meetings • Section 47 enquiries • Plans (Children in Need, Child Protection and Children in Care) • Special Guardianship Orders • Legal Planning Meetings • Fostering, Adoption and Placements In addition, policies and procedures have been undergoing review to ensure they reflect the standards and identifying whether there are any gaps.	A sister document will be produced to ensure there is clarity on the expected standards across all parts of the department: - Growing Quality in Early Help - Growing Quality in Support Services. The other Practice Standards will be developed and signed-off for October 2017. We will develop the current monthly service meetings to support managers to share success in meeting standards.
c. Identify good practice as exemplars to model good engagement. **d. Ensuring we take account of issues of diversity and inclusion in families in all care planning.** Ofsted Refs : 1-17	Each area to identify examples of good engagement for example: • Working with diversity and issues of identity • Working with transgender issues • Working with learning difficulties Action learning sets to be established across the service to share and build on best practice. Initially to focus on advice given in WikiLeeks on: • Chronologies • Genograms	The theme of neglect is being used to pilot a model for learning, development and dissemination of good practice. The model draws on quality assurance activity to identify areas that need strengthening and share cases judged as Good. Opportunities for sharing good practice are included in regular meetings and individual services also capture and discuss good practice, such as IRO Alerts and the Virtual School. Agreed practice standards and quality statements are used to ensure issues of diversity and inclusion are considered and addressed in care planning for all families. A focus on diversity has led to identity, diversity and transgender modules being part of core training for foster carers. Guidance on chronologies has already been circulated.	We will be drawing together good practice examples that are currently discussed only in service areas to publish more widely and share learning. Developments to the Intranet will mean good practice will be easier to share, but this is dependent on timescales for 'work spaces' to be available. The neglect pilot will be extended to a second area to deepen our understanding. A learning system will be established and led by the advanced practitioners that support a systematic approach across teams for the dissemination of learning. We will establish two practice conferences per year to share practice and model successful engagement We will have a continued focus on inclusion and diversity and using

2. Embedding Excellent Practice			
Objective /Ofsted Ref	**Actions Submitted to Ofsted**	**Progress**	**Further Work**
			families' existing resources in the development of plans for change.
e. Quality of assessment planning and recording supported by reflective supervision that shows effective challenge Ofsted Refs : 2, 6, 17	Practice standards set out expectations in relation to high quality assessment planning recording and decision making. Managers ensure that these are embedded in practice. Tracking of performance to evidence improved timeliness monitored through performance meetings. Develop a learning programme for senior practitioner and team managers to include training and mentoring approaches to develop supervisory skills and competence.	Our quality statements and practice standards clearly set out expectations in relation to high quality assessment, planning, recording, and decision making and an audit against assessment standards has been completed. Monthly audit returns show that regular supervisions have improved and guidance on reflective supervisions has been re-issued as well as being part of the discussion of the Practice Development Group. The supervision needs of particular services, such as fostering, have led to a programme of training being outlined for consideration. Monthly performance dashboards are being used to monitor the timeliness of assessments with recent months seeing positive improvements.	A focus on the quality of supervisions will be prioritised to ensure they are having the desired effect. Some service areas, such as Children in Care, will steer this focus to particular improvement areas such as completing actions, securing outcomes and timeliness. There will be further work with managers and practitioners to embed practice standards. This will include developing the skills of staff around assessments as part of closing the learning loop from the audits on assessments. In addition, identified good practice in the services will be shared.
f. Good case management Ofsted Refs : 7	Existing performance meetings are used to ensure that the practice standards, performance information and analysis of improvement activity are being used effectively by operational managers. Where we are working to get children home, or in permanence planning trajectories are used as a case management tool to ensure milestones and timelines are clear and robust.	Processes and responsibilities have been established and refined to deliver good case management that includes panels, reviews, alerts and trackers. This includes forward planning permanency decisions of children into the Permanency Panel, use of an adoption and pre-proceedings tracker and reviewing the permanency of all children that have been in care for 24 months. Existing performance meetings are used to ensure that the practice standards, performance information and analysis of improvement activity are being used effectively by operational managers. Where we are working to get children home, or in permanence planning, trajectories are used as a case management tool to ensure milestones and timelines are clear and robust.	All processes, panels and monitoring will be reviewed to ensure they are achieving the desired objectives.
g. Robust Commissioning framework across Children and Family Services Ofsted Refs : 1-17	Commissioning framework and monitoring in place for Children in Care.	A commissioning framework with aligned monitoring is already in place for Children in Care and will be extended to Special Educational Needs and Disabilities	The review of the commissioning framework for Special Educational Needs and Disabilities will be completed and a revised model implemented.

3. Taking the Right Action at the Right Time			
Objective /Ofsted Ref	**Actions Submitted to Ofsted**	**Progress**	**Further Work**
a. Achieving permanency at all	Early identification of adoption plans and tracking through	A Permanence Panel has been established and managers regularly look for permanency planning. A practice summit on Permanency Planning was held in	The role of Panel and project group will be developed further with a focus

3. Taking the Right Action at the Right Time			
Objective /Ofsted Ref	**Actions Submitted to Ofsted**	**Progress**	**Further Work**
stages of the child's journey Ofsted Refs : 7, 14, 16	Permanence Panel. Development of permanence champions who provide the wider concept of permanence Permanence Panel established Review model and service specification to manage edge of care work. **Focus on-** • Percentage of children subject to a repeat child protection plan for a second or subsequent time reduces year-on-year • Length of time children are subject to a child protection plan reduces year-on-year • Practice standards and matching of children when considering placements. Practice Summit to be arranged on Permanence	March 2017 and led to establishing task and finish groups for Special Guardianship Orders, Legal Planning Meetings and Connected Carers. All groups have been reviewing processes, guidance, communications and support in respect of their area. A project group is also being drawn from the Permanence Panel to drive this area forward, including planning departmental progress and developing 'permanence champions'. A few focus areas for permanency have been identified that includes strengthening Edge of Care arrangements, helping to keep families together, improving the quality of support to Children in Need and ensuring permanency decisions for children on the Child Protection Register are timely. All areas have progressed well so that: - A review of our Edge of Care model and service has been completed and a new model is currently under consideration. - A multi-agency task and finish group has been established to revise stepdown procedures from Child Protection to Child in Need (CiN) and CiN guidance has been published. - A process to alert of drift and delay on Child Protection cases has been established and rolling programme of case reviews is underway.	on improving understanding of permanency so that it is considered at all stages of social work practice. Aligned work will include simplifying processes and pathways, as well as implementing any recommendations from the permanency DfE research we have been involved in. Permanency is a strand of the Growing Quality campaign and will be incorporated into the department's training and support offer.
b. Improving pathway plans Ofsted Refs : 6, 12	Structure review for Children in Care Plans are informed by up to date assessments. Plan audit- commissioned through Quality Assurance audit model Review role of PA and number required. Review NEET (Not in Education, Employment or Training) strategy to ensure focus on Care Leavers. Performance report is accurate for suitable accommodation, in contact and NEET.	A proposal for restructuring the Children in Care service area has been agreed and included a review of capacity, skills and roles. Five personal advisors are to be recruited which will have a direct impact of the quality of pathway plans. The service has also continued to undertake audits against refreshed standards for plans and frequently monitors that plans and assessments are up-to-date. A practice summit on care leavers was held in July 2017 that sought to establish consistency in applying standards, which will also improve the accuracy of relevant data. In addition, The NEET (Not in Education, Employment or Training) Strategy has been reviewed to ensure a focus on care leavers. Performance reporting is regularly reviewed and any inaccuracies are corrected for monthly reporting.	Audit and oversight of pathway plans indicate that they still need to improve in quality and consistency. A practice summit for this is being planned for autumn which will also review the impact of apply standards consistently. A key performance driver for children leaving care is whether they are 'in contact'. The service is exploring the use of social networking and other technological platforms to improve this.
c. Ensure Strong Front door including Out of Hours Service Ofsted Refs : 2, 4, 6	Action Plan and resource in place. All processes reviewed. Additional Social Worker and management capacity in place. Supervision and additional support to ASYE's. Admin and business support in place. Working group established to drive the work.	An Action Plan for First Response that is supported by several working groups that report to an overarching development group chaired by the assistant director has been in place since the inspection. All processes have been reviewed with the support of a business analyst and the Plan has already delivered new models of working, including an allocations model. Additional social work capacity is in place to reduce caseloads and increase management oversight as well as refocussed administration and business support. Targeted work with ASYE staff has meant they are more supported and confident in their roles. The review of Out of Hours has been completed with the new functional model beginning in August. The consistency of the OOH service is improving and a dedicated team manager is in place working on shift with staff to oversee	A review of the new model, processes and pathways will take place to ensure they are working as expected. Work on the development of an integrated front door will begin. Our approach to domestic abuse, particularly with respect to the volume of referrals and notifications from the police, will be a focus for

3. Taking the Right Action at the Right Time			
Objective /Ofsted Ref	**Actions Submitted to Ofsted**	**Progress**	**Further Work**
		consistency and quality. The Out of Hours Handbook is also being currently updated. First Response are also piloting the new audit framework with a focus on assessment quality. The output will complement newly developed performance data that is currently showing improved timeliness of assessments having addressed a large backlog of poor quality data.	proportionate and appropriate responses through a partnership agreed prioritisation and grading framework. Further domestic abuse training that is targeted for First Response staff will be provided so that staff have a better understanding around the complexities of domestic abuse.
d. Ensure appropriate SGO arrangements and improve post-adoption and therapeutic support Ofsted Refs : 8, 11	Post adoption plan audit Review of CAMHS contract Introduction of consultation hubs Adoption website updated to include core offer and community links Offer to birth parents is in place	A Special Guardianship Order (SGO) task and finish group have developed a clear SGO offer and funding for a SGO support worker has been agreed. Post-adoption support has been improved by amending the therapeutic offer to parents, including counselling for birth families, and establishing consultation hubs. Work already started includes reviewing the adoption website and the CAMHS contract. In addition, a pamphlet for independent advice to birth parents is now in place, a dedicated post-adoption support worker has been employed and our first adoption newsletter is about to be published. A policy on post-adoption support is included as part of our local procedures and this will be used to develop further staff guidance.	An audit of post-adoption plans will be undertaken in autumn and the adoption website will be updated with new material, including community links and support. A micro-site to support SGO's will also come online in this period. The revised CAMHS contract will be in place for April 2018.
e. Ensure young people in care enjoy education, employment and training and reduce the % of NEET Care Leavers Ofsted Refs : 15	Revised NEET Strategy Reviewing IAG contract Implementing new Leaving Care team model	The NEET Strategy has been reviewed to include a focus on care leavers and our contract on Information, Advice and Guidance is being re-tendered. The restructure of Children in Care services will also strengthen ties with leaving care services.	The quality of Pathway Plans will provide a focus for ensuring care leavers are well supported into further education, employment or training.
f. Ensure that, when a child in need plan relating to a child who has disabilities is reviewed, it reflects an up to date assessment, informed by the voice of the child and undertaken by a qualified and registered social worker Ofsted Refs : 10		A review of CIN processes and the offer to those children who require a SW assessment and package of support but not ongoing SW intervention has been undertaken. Work is underway with Early Help colleagues to , where appropriate support children and families in this way. An audit of cases open to the Disabled Childrens Team was undertaken to identify areas for development in this area.	Work to be progressed and embedded

4. Developing Policy and Performance			
Objective /Ofsted Ref	**Actions Submitted to Ofsted**	**Progress**	
a. Ensure policies supporting practice are in place Ofsted Refs : 8, 11-13, 15,16	Review/create policies or written statements on: • Staying Put • Care Leavers offer • Private Fostering • Post- adoption support offer • NEET	The Staying Put Policy was revised in February 2017 and the Private Fostering annual report formed the basis of an agreed action plan and communication strategy. This action plan is reviewed quarterly with Senior Management team (SMT). Work on adoption, care leavers and NEET has already been referenced above.	Whilst a Care Leavers Offer is in place, it is felt that a refresh is required for April 2018 to better align with work undertaken around the service's restructure, the NEET strategy and the development of an offer with housing partners. In addition, preparation for the new '25' legislation to launch in April 2019 will mean a range of activity, such as service modelling and contributing to regulations, will take place over 2018. In relation to post-adoption support, staff guidance is being developed for September 2017 and public-facing material for October 2017. Policies in relation to Legal Planning Meetings and SGO's will be reviewed via a task and finish group over September/ October.
b. Accurate performance data is available for all areas of service and to ensure that progress is made on the specific recommendations made by Ofsted. Ofsted Refs : 1-4, 6, 7, 9-16	Scope all performance data requirements Design of performance reports Test and implement new reports with business.	Work to scope performance data requirements has been completed with urgent performance reporting requirements already met, such as intelligence on contacts, referrals and assessments. The design of new performance dashboards to launch alongside our new Information Management System in September (Mosaic) has already been completed. Our monthly performance management service meetings have been used to discuss and address any performance issues of concern as well as highlight where progress has been made. The coordination and development of reports to assist with performance reporting and performance management has transferred to the Development and Support Service Manager.	A consultant has been engaged to help define performance management and IMS requirements for the fostering service in order to take advantage of launching Mosaic. The output of work for spring will include weekly performance dashboards that can identify practice issues and sufficiency requirements. The monthly performance management service meeting will be developed during September to December to include Service level evaluation reports with a broader selection of Quality Assurance information.
c. All managers actively use data to support monitoring and service management Ofsted Refs : 1-7, 9-16	SMT to ensure that service led performance management is consistent across all parts of the business	Performance meetings and reviews of service delivery plans are in place and supported by new reports around the management of contact and referrals that is produced daily and weekly. Principles underpinning performance reporting have also been agreed.	Monthly performance meetings will be complemented with outreach performance management clinics to individual teams. These clinics will support managers to understand their data and provide a mechanism for future reports to be tailored to managers' needs. This roll-out is

4. Developing Policy and Performance			
Objective /Ofsted Ref	**Actions Submitted to Ofsted**	**Progress**	
			expected over winter/spring.
d. All staff understand the requirement of good quality data and their role in recording all information in the right way Ofsted Refs : 1	Work with business, BI and QAIF team to identify and rectify existing errors in system. Service managers to lead and drive everybody's changing behaviours to ensure all are responsible and accountable for their data. Performance indicators evidence improving outcomes for children and young people- This is an element of the Quality Assurance framework and will directly inform the audit activity.	A Data Quality Strategy is currently in place and being developed into an action plan that will include the review of learning and development requirements around the IMS. The strategy is supported by agreed data quality roles and responsibilities across the department and established forums for resolutions, such as the IMS user group and the Reporting Group. Data quality forms part of the discussion at monthly performance meetings and business intelligence reports have been developed specifically to address data quality issues. Support is in place to rectify existing problems in the IMS and is used to direct any targeted support to staff and managers.	Performance dashboards will be developed to incorporate data quality scrutiny so that managers are better equipped to address issues within their own teams. Data quality issues identified as a result of statutory returns will provide key focal points for improvement and be used as in-year benchmarking for improving data quality.
e. Use of data to support management oversight and quality assure effective case management and decision making Ofsted Refs : 1-17	Create reports which show when children have had management oversight/supervision Practice and Management standard clear regarding expectations Consultant commissioned to work with all stakeholders to agree requirements and deliver reports.	We currently have a mixture of digital and manual reports in place to secure effective case management and decision making and work to scope reporting requirements has been completed. The published management standards and quality statements set clear expectations on managers.	All reporting will be made available digitally through the Tableau platform. Additional work to Mosaic is planned that can allow for better monitoring of supervisions.
f. Caseload size Ofsted Refs : 3	Report on current position re caseload sizes run monthly Additional capacity (agency) across First Response, Child Protection + Supporting Families + Children with Disabilities. Review structure to see how best response is deployed. Recruitment strategy to be developed – JDs rewritten/rolling progress of adverts/reached with clear social work offer.	Caseload sizes are closely monitored through monthly reporting and trend information has been used to form the basis of staff growth funding bids. Additional capacity is in place for First Response, Child Protection, Supporting Families, Children with Disabilities, Fostering and Independent Reviewing Officers. The recruitment strategy is being developed and this incorporates a clear social work offer.	There is increasing demand for all service areas, but particularly child protection and children in care. The latter is placing considerable pressure on our sufficiency goals with implications for fostering recruitment, adoption assessments and leaving care. The extension of the leaving care age to 25 means demand is further compounded. Our Sufficiency and Permanency strategies set out a range of activity to mitigate and plan for this demand including investment agreements in areas like connected carers and fostering recruitment. The deployment of funding secured through the growth bid will be critical to achieving manageable caseloads for practitioners. Recruitment to aligned posts has begun and will be completed over autumn.

4. Developing Policy and Performance			
Objective /Ofsted Ref	**Actions Submitted to Ofsted**	**Progress**	
g. Service Delivery Plans reflect all key areas of improvement are embedded Ofsted Refs : 1-17	Draft Service delivery plans being agreed to cover all key areas of practice, management assessment and performance.	All Service Delivery Plans cover key areas of practice, management, assessment and performance. These are reviewed on a quarterly basis and directly contribute to the outcomes of The Road to Excellence.	Service delivery plans will be reviewed each quarter between service managers and Heads of Service with a bi-annual review undertaken with the Assistant Directors.
h. Missing children are offered a return home interview and information gained informs risk management and shared intelligence Ofsted Refs : 9	Draft service delivery plan developed for the multi-agency CSE team who lead the coordination of the response to missing children Improvement driven by LLR Operations Group and scrutinised by LLR Exec Board	A service manager has been appointed to lead a multi-agency CSE team and the Service Delivery Plan that addresses missing children has been agreed. LCC had already developed a model to improve the completion of Return Interviews for CIC and how to ensure the quality of all RI's and the planning that takes place when OFSTED arrived. This model has now been well embedded and is seeing improved performance. Improvement in this area is also driven by the Leicester, Leicestershire and Rutland (LLR) Operations Group and scrutinised by LLR Executive Board.	The Delivery Plan and aligned performance data/quality assurance processes will be used to monitor that this objective is being met.

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Rationale for the provision of additional resources in Children and Family Services to meet the requirements of the Ofsted Continuous Improvement Plan

Introduction

Currently we have at July 2017 2800 open cases across Children's Social Care this includes 533 children in care and 521 child protection cases. These numbers have increased significantly over the last 12 months, along with the number of care proceedings. This is in line with national trends and has placed significant pressure upon workloads.

The Ofsted inspection (SIF) in November / December 2016 identified key areas of improvement outlined in 17 recommendations. The development of a 'Plan on a Page' (Road to Excellence) and associated Continuous Improvement Plan outlines the LA response to drive services for vulnerable children and families in the County to be consistently good/ outstanding

One key Ofsted recommendation (3) is that caseloads in many areas are too high. Although plans were in place at the time of the inspection to address this in some areas, the impact in others had not resulted in the increased capacity required. Work has continued since December 2016 to address this but to date this has largely been by the deployment of agency staff. This is not a long term solution and is extremely expensive.

Data in this report demonstrates the pressure, if agency staff had not been deployed.

Caseloads

CIPFA in a recent report Children & Families – Good Value from Good Practice identified the importance of "maintaining sensible staffing workloads of 14-17 children to each worker" as a key element to achieving best outcomes and best use of resources. The only two Authorities rated by Ofsted as outstanding have social worker (SW) caseloads of between 7 – 10 children. Present caseloads in Leicestershire are higher than both of these standards.

It is our aspiration to move to the 14-17 standard identified by CIPFA with a further reduction for newly qualified Social Workers in their initial Assessed Year in Practice (ASYE) and Senior Practitioners(Snr Prac) having regard for their inexperience or their additional supervisory responsibilities. Mindful of the resourcing implications of achieving this we are currently proposing a less ambitious standard for all Social Workers (FTE) to have 18-20 children and ASYEs and Senior Practitioners to have reduced caseloads of 12-15 children. Caseloads are now monitored on a monthly basis by SMT which indicates we do achieve our standard in some teams but in others workers are supporting too many children. We are also maintaining sensible caseloads in some teams through the use of supernumerary agency staff employed leading up to and as an immediate response to the Ofsted Inspection. The proposed investments here in permanent staff will replace these and remove the associated financial pressures as detailed at the end of the report.

The situation will require ongoing monitoring and evaluation using the improved performance reporting which has been introduced recently to determine what further improvements will be required to achieve the 14-17 standard. It may however be possible to achieve the desired standard of 14-17 as improved managerial and supervisory practice is achieved as part of the Ofsted Improvement Plan.

This report identifies below the required investment on a team by team basis with the calculation used to determine this. In some teams additional managerial capacity is required in order to maintain the required supervisory balance of manager to worker which is that a manager should have between 8-10 direct reports. Other teams require additional posts to achieve statutory requirements.

First Response

Present workload

There are approximately 1000 new contacts per month.

On average 600 – 700 of contacts go to the referral stage.

Children requiring assessment in July = 577.

Without additional agency staff caseloads would stand at 26 / 27 cases per worker but have on occasions been higher .

Proposal

To increase capacity by 2.5 Team Managers and six Social Workers to provide the following:

1. Reduce caseloads to the target of 18-20 for SW and 12-15 for ASYE and Senior Practitioners.
2. Remove the drift identified by Ofsted and achieve immediate decision making on contacts and referrals.
3. Increase the overall number of assessments being completed and ensure these are within timescales.
4. Provide an enhanced integrated front door to Early Help and CSC.
5. Improved performance of Child Protection procedures from Strategy Meetings and Section 47 investigations to Initial Child Protection Conference (ICPC).
6. Provide an improved and more resilient Out of Hours Service.
7. Timely throughput of cases to meet all required performance and quality standards.
8. All workers will get appropriate levels of supervision.

Child Protection Teams

Target caseload capacity is all Social Workers have 18-20 cases, Senior Practitioners and ASYE 12- 15 cases.

On a team by team basis the caseloads of all staff have been monitored monthly by SMT. Based on this the following increased capacity is required:

Locality 1

Team A – Average caseload 18. –within existing capacity

Team B –. Average caseload 21. - 14 cases over the current capacity.

Team C – Average caseloads 22. - 16 cases over current capacity.

Required at least 1 additional Social Worker Post

Locality 2

Team A – Average caseload 21. - 20 cases over current capacity.

Team B – Average caseload 18. - within existing capacity.

Required 1 additional Social Worker Post

Locality 3

Team A –Average caseload 22. - 22 cases over capacity.

Team B – Average caseload 21 - 22 cases over capacity

Team C – Average caseload 23 - 20 cases. over capacity

Required at least 2 additional Social Worker Posts

Overall requesting 4 additional Social Worker Posts

Strengthening Families (Children in Need)

Target caseload capacity is all Social Workers have 18-20 cases, Senior Practitioners and ASYE 12- 15 cases.

Locality 1

Average caseload 18.- within capacity.

Locality 2

Average caseload 18. - within existing capacity.

Locality 3

One supernumerary agency Team Manager.

Average of 27 cases - 70 overcapacity.

Overall requesting one Team Manager and four Social Workers

Children in Care

16 Plus Team

We currently have 250 16 plus care levers allocated to Personal Assistants. We have a further 148 that are with SW's that need to have a PA allocated in order to meet statutory requirements of the Leaving Care legislation.

Ofsted noted under capacity here and identified that work is needed to strengthen the quality and management oversight of Pathway Plans which are generally of a poor quality. In order to increase capacity to bring caseloads down to 18-20 children there is the requirement for the provision of five additional Personal Assistants and one Support Worker. This will enable us to meet existing statutory requirements, improve overall quality and achieve better outcomes for young people.

It should also be noted that the new Children and Social Work Act 2017 extends LA duties to Care Leavers to 25 years so this will increase the pressure on the service. It is hoped this can be managed within the extended service being proposed here although will depend upon the level of take up which at this time is unclear.

Requesting 5 Personal Assistants and 1 Support Worker

Adoption & Fostering

Adoption Service Manager:

Currently we have a Service Manager covering both the Fostering and Adoption Services. There is an assistant manager for adoption however this post is not in the establishment and does not have permanent funding.

To strengthen the role of both Fostering and Adoption we propose to create a permanent Service Manager for each area. Without this role the Service Manager for Fostering and Adoption Service will continue to have 8 direct reports, as well as being the registered manager with statutory duties for the Leicestershire Fostering

Agency, Leicestershire Adoption Agency and Welland House Children's Home. They also have direct responsibility for a large placement budget and sufficiency/placement strategy.

The establishment of clearly defined service specific managerial roles between fostering and adoption will allow us to improve our performance in both areas.

The additional managerial capacity and focus within the in-house fostering service will be an essential component for achieving the rapid growth of the service over the next few years. This growth and the associated cost saving is the main component of the service's contribution to the MTFS.

Proposal is to create 1 Adoption Service Manager.

Social Workers

These social workers will be working directly in the Kinship Team to promote stable and safe permanence within families. They will be undertaking assessments and carry supervising social worker case load for kinship carers for whom the court has determined should remain foster carers for the local authority for specific children. Current demand and FTE is set out below:

- 15 connected assessments being externally commissioned this year at a cost of £2200 per assessment in order that we meet the court timescale for completion and 4 allocated to other services in an effort to support the Kinship Team.
- There is currently 1.6 FTE supervising social worker capacity within the Kinship Team. These 2 workers hold a case load of 55 cases.

Proposal is to create 2 additional Social Work posts

SGO Coordinator:

Ofsted identified that we are not meeting our statutory responsibilities in terms of providing support to carers for whom the court has made Special Guardianship Orders (SGO) or are subject to Residence Orders (RO). These orders are more cost effective as the fees we pay are at a lower level than fostering fees as well as providing a better long term solution for children. There are 325 children who fall in these categories to whom we deliver no service at present and it is an area we wish to develop as part of our Care Placement Strategy. The court has recently announced the intention to 'invite' the local authority to apply for a Care Order instead of a SGO/RO until such time as the support plan to the carer and children has been tested and deemed appropriate. We will struggle to meet these demands as we stand which could limit our options. These children will then remain foster children and the payments to their carers incur the full fostering fees and allowance cost and create financial pressures.

It is the intention to introduce this SGO/RO support worker role to offer a core offer of visitation post making of the order to:

- Ensure carers access the appropriate training
- Ensure that carers understand how to use the training to best meet children's needs.
- Establish local area SGO/RO carer support groups
- Ensure carers access the appropriate support within their communities
- Prevent escalation of need and break-down of placement (improved stability and outcomes for children placed with kinship carers).

Proposal is to create 1 SGO support role

Post Adoption Support Fund:

116 children will receive financial support for their care until their 18 birthdays. In addition to this, the local authority drew down £400k from the Adoption Support Funding during 2016/17. It is likely that this funding will not be available from 2020. In addition to this, 45-50 children are placed annually (based on 24-16 Scorecard information).

Overall, Ofsted found that our adoption support plans required improvement and that we were over reliant on external support to carers.

We are also not compliant with adoption regulations that require the local authority to provide;

- Counselling support to birth parents and family
- Independent advice to birth parents where the permanency plan is one of adoption.

The funding here will be used to provide an adoption support core offer to adopted families.

Proposal to provide a post adoption support fund of £50,000

Safeguarding Unit

Independent Reviewing Officers

There is a need to increase Independent Reviewing Officer (IRO) capacity in order to meet our statutory requirements to chair child protection conferences and Looked After Children Reviews. The data to support this growth is as follows:

- The number of Children in Care and those subject to a Child Protection Plan has increased over the last 12 months. This is in line with the national picture.
- IRO Caseloads in March 2017 (combining LAC & CP) average is 85 per fte IRO. The recommended caseload number within the statutory guidance contained within the DfE IRO Handbook is 50-70. Ofsted have also

evidenced in their thematic inspections the importance of maintaining sensible caseloads to enable IROs to adequately fulfil their individual statutory responsibilities. In order to ensure a reasonable case load in line with guidance the proposal is to provide two additional fte IROs.

The proposal is to increase the number of IRO's by 2

Children's Rights

These staff provide independent advice, guidance and advocacy to children and young people in the child protection and LAC systems. There is a statutory requirement for the council to provide advocacy for all looked after children particularly those living away from home or extended family. Further investment is required due to:

- Increases in the number of Looked After Children and those subject to a Child Protection Plan have significantly increased the demands of the existing service.
- We currently only provide a limited advocacy offer only to those children over 10 years attending case conference. We need to extend this, as appropriate to all aged children.
- We are also required to increase Children's Right Support to Children in Care including those living outside of the County who to date have had a very limited level of support.

In order to provide this more comprehensive offer we need to increase the number of Children's Right Officers by 1 post.

Quality Assurance

The provision of off line management scrutiny by experienced practitioners in order to provide an objective evaluation of the quality and effectiveness of operational practice is an essential component of modern social care services. This was not operating within the service until leading up to the Ofsted Inspection and since October 2016 we have had 2 agency workers employed in this work. Their contribution has been significant in providing an accurate appraisal of the strengths and weaknesses of the service and in monitoring progress as developments are implemented. They are also working directly with staff to improve their understanding and capabilities. This is providing a much more accurate self-assessment of the service amongst staff than had previously existed when there was a largely over optimistic view.

This is an absolutely essential element of the service's Improvement Plan.

The Proposal is to create 2 Quality Assurance Officers.

Staff Development

This is being proposed in liaison with People Services. Legislation requires the Local Authority to establish the post/function of the Principal Social Worker (PSW). We currently have 0.5 funding in the base budget. The other 0.5 was previously funded by EIP (SDS) grant monies which is no longer available. The PSW role is crucial to provide a link between practice and the Director to ensure we have a quality social work practice.

The proposal is to provide 0.5 funding to make this a permanent, full-time post

The post will help drive and deliver consistent practice and place the local authority in a strong position to deliver and embed further the Signs of Safety Initiative which was so positively commented upon by Ofsted and will be a key element in enhancing practice standards.

Our proposal is to further support practice improvement by recruiting two Advanced Practitioners (APs), reporting to the PSW. The Council is out of line with most other LA's where such positions have been well established for some time and these will be key components of our drive to removing the inconsistent practice we have identified in areas of our work and which was also of concern to Ofsted.

The department is hopeful of receiving further government funding for the next phase of the Signs of Safety Innovation Initiative and these posts will be counted as match funding when EIP2 monies are made available.

The proposal is to create 2 Advanced Practitioner Posts

Leadership and Management

The Children and Social Work Act 2017 requires LA's to develop clear progression and accreditation routes for social work professionals. Whilst many LA's have well developed progression routes in place on which to build, LCC does not. Apart for ASYE level, where there is still much development required, we need to establish professional progression routes. This will be fundamental in helping address the consistency in practice and management oversight to make the LA to good/ outstanding. We are exploring with Learning & Development colleagues how best to provide this bid and our proposal is to ensure solid practice development, of which progression and accreditation is a part of a Head of Service post is established to lead this key area of work.

This post will also manage the PSW and the development of practice standards across all aspects of our work in C&F Services not only Social Care. This will bring together in a much more co-ordinated way aspects and responsibilities presently sitting in both C&F Services and People Services improving both efficiency and effectiveness.

Proposal: to recruit 1 Head of Service Post

Partnership Working

Inter-agency partnership working has been under developed in social care services. This has been compounded in our joint working with Health by the fact there has been little focus within the BCF and STP on children's services. Also the lack of a formal overarching inter-agency partnership group to establish the priority areas for children and family services and translate these into a plan and steer and monitor progress towards achievement has also been a weakness.

A Children and Families Partnership has now been established reporting into the Health and Wellbeing Board and work is underway to produce a C&F Plan. In order to support this development and increase partnership working in general particularly with Health Services there is a need to create a dedicated post. This would be based within the Health and Care Integration Unit as part of Cheryl Davenport's team. This development is being supported by health commissioners and providers. It has also been endorsed by the Integration Executive as positive development in addressing what they accept has been an under representation.

Proposal: to recruit 1 Partnership Manager post.

Legal Costs

These are largely associated with Family Court and include in-house services as well as the commissioning of services such legal counsel or specialist assessment. The base budget has remained relatively static during a time which has seen significant increases in the level of legal activity which is also getting increasingly complex in nature. This has resulted in the present budget, which is apportioned across Legal and C&F Services, being insufficient to meet demand.

Proposal: to increase the base budget to a level sufficient to meet present demand; funding for 2 solicitors and court fees.

Costs

The proposed action plan will require an investment of £2.5m. Growth of £0.5m was built into the 2017/18 budget, so the net investment required is £2m. The growth addresses the capacity issues identified within the report, it also allows investment to address significant legal cost pressures arising as a result of the increased number of care proceedings.

In 2017/18 the pressure on the overall children's social care budget continues with c8% per annum increases in numbers of children coming into care. This means that an overall overspend taking account of both placement costs and the part year cost of the additional resources for the Ofsted action plan in highly likely, not least that it was necessary to respond to concerns raised during the inspection by engaging additional agency staff.

It is worth noting that the Ofsted action plan identified a need for additional resources, but at the same time also stated performance issues need to be

addressed. Medium term financial sustainability will require both areas to be addressed simultaneously. At the same time good progress needs to be made with the £4m savings target in the budget.

As pointed out in the report experience from elsewhere shows there is significant financial risk from not investing.

Conclusion

Without this investment it will be extremely difficult and in some areas impossible to achieve the necessary service improvements outlined in the Ofsted Improvement Plan which was agreed by Cabinet and has been sent to Ofsted as required.

Whilst Ofsted do not directly return to check on the progress and timelines contained within the Improvement Plan they do monitor the service in differing ways. We have regular formal meetings with them where they question senior managers as to progress. They review our statutory performance returns particularly in relation to areas of concern highlighted within the Inspection Report. They will monitor our Serious Case Reviews or any Peer Reviews.

A new round of Ofsted inspections is commencing, some of which are thematic and these can be targeted at LAs where full inspections have highlighted issues. The next round is focussing on neglect and will pay particular attention to front door arrangements. This was a key area of weakness for us and could therefore increase the chances of Leicestershire being chosen.

We are also awaiting an Ofsted SEND Inspection which will cover aspects of the SIF Inspection with the expectation of progress in the areas where issues were identified.

Whilst another major inspection is unlikely to be imminent it will occur in the next few years. This SIF Inspection will be the main reference point and clear progress will be expected to have been achieved.

The financial costs of failing or achieving poor inspection rating are well recorded and significant.

Some of the investment proposed above will also lead to cost savings in the long term by providing more cost efficient service models or more effective interventions into families with better outcomes.

The Council has always aspired to provide the highest quality service to children and families in order to achieve the best possible outcomes particularly to those in greatest need. The SIF Inspection told us in some areas we are not operating in a manner which is conducive to achieving this and we need to do better. The main argument for this investment as part of an overall improvement plan is not Ofsted but that it will enable the Council to achieve its overall aspirations for C&F Services.

LEICESTERSHIRE AND RUTLAND LOCAL SAFEGUARDING CHILDREN BOARD (LRLSCB)

Annual Report 2016/17

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Document Status

First draft completed:	24/08/2017
Approved by Executive:	
Approved by Board:	
Published:	
Report Author:	Safeguarding Boards Business Office, Leicestershire & Rutland LSCB and SAB
Independent Chair:	Simon Westwood

Foreword

As the new Independent Chair of the Leicestershire and Rutland Safeguarding Boards from April 2017, I am pleased to present the Annual Report for the Leicestershire and Rutland Local Safeguarding Children Board (LRLSCB) 2016/17. I would like to record thanks to Paul Burnett, the previous Chair for his leadership of the Board during the period this report relates to.

On behalf on the Board I want to thank all those; particularly parents and carers, front line staff and volunteers who day in and day out support vulnerable children, families and adults to improve their lives. The board will continue to play their part in building a culture where vulnerable adults, children, young people, carers and families are listened to and their views influence practice.

The report is published at the same time as the Annual Report for the Safeguarding Adults Board The reports include commentary on areas of cross-cutting work we have undertaken through our joint business plan.

The key purpose of the report is to assess the impact of the work we have undertaken in 2016/17 on safeguarding outcomes for children, young people and vulnerable adults in Leicestershire and Rutland.

There is clear evidence of sustained strong partnership working across the safeguarding communities of Leicestershire and Rutland. In the recent Ofsted review of the LRLSCB the report stated “The board has developed an ethos of constructive challenge and support. It has taken a thoughtful and flexible approach, sensibly working closely with the Safeguarding Adults Board and Leicester City LSCB in areas of common concern.”

Though the report is joint it provides distinct findings about practice and performance in both Leicestershire and Rutland.

The safeguarding boards exist to provide support and critical enquiry to ensure that organisations work together to reduce or prevent possible abuse and neglect.

The board was reviewed by Ofsted during 2017 and were judged Good. The report stated that the board’s scrutiny and influence have had a positive impact on front-line practice, facilitating better understanding of the threshold into children’s social care, more timely identification of the health needs of children looked after and the improving response when children are at risk of sexual exploitation. Each year bring additional challenges; the Children and Social Work Act 2017 made legislative changes to the role of LSCB’s which the Board and partners will need to respond to once detailed guidance is published in the autumn. It is critical that through this period of change we continue to keep safeguarding as a top priority for all.

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We can never eliminate risk entirely. We need to be as confident as we can be that every child and vulnerable adult, are supported to live in safety, free from abuse and neglect. The Board is assured that, whilst there are areas for improvement, agencies are working well together to safeguard adults and children in Leicestershire and Rutland.

I hope that this Annual Report will help to keep you informed and assured that agencies in Leicestershire and Rutland are committed to continuous improvement, being open about what needs to improve and transparently identifying the challenges in achieving this, not least the continuing pressure to do more with less resources.

Finally, if you have safeguarding concerns about any vulnerable adult or child please act on them; you might be the only one who notices.

Simon Westwood

Independent Chair

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Summary

The Board is assured that, whilst there are areas for improvement, workers and agencies are working well together to safeguard children in Leicestershire and Rutland.

In reaching this conclusion, we have:

Sought assurance that those who work directly with children listen to what they are saying and to respond to them appropriately. This can be found throughout this report;

Monitored data and information on a regular basis. Sections of this report on *Safeguarding Children in Leicestershire* and *Safeguarding Children in Rutland* tell you what we have learnt from this including:

- More contacts from members of the public resulted in referrals to Social Care in Leicestershire and Rutland
- There has been an overall increase of around 20% in referrals and cases for Children in Need and Child Protection in Leicestershire
- The proportion of repeat child protection plans in Leicestershire has reduced
- Identification of Neglect increased in the year in Leicestershire and Rutland
- Initial Health Assessments for Looked After Children are not always being completed on time
- There was a significant increase in the number of children recorded as home educated in Leicestershire.

Reviewed how we are doing as a Partnership, including an assessment on progress against our Business Development Plan for 2016/17;

Conducted a series of formal audits of our safeguarding arrangements, including:

- A 'Section 11' audit process of organisations safeguarding approaches
- Case reviews of frontline practice which have included themes, such as Repeat Child Protection Plans, Neglect and Child Sexual Exploitation;

Our formal audit activity is covered in the *Challenge and Assurance* section of the report;

Carried out Serious Case Reviews and other reviews of cases and disseminated learning from these across the partnership. A summary of this is found in the *Learning and Improvement* section of this report;

Further extended the "CEASE" campaign to raise awareness of and gain commitment to ending abuse and sexual exploitation of children;

Supported a campaign initiated by the Child Death Overview Panel to raise awareness of the danger of ingesting button batteries;

Developed procedures in relation to bruising to pre-mobile babies;

Provided training, in partnership with Leicester City LSCB, on a number of topics relevant to safeguarding including our Safeguarding Children Competency

Framework, Learning from Serious Case Reviews and our Neglect Toolkit. This is outlined in the *Training and Development* section of this report;

Considered the outcome of and recommendations from the Ofsted inspections into the two Local Authorities Children's services and the LSCB and resultant improvement action.

The nature of the Board is of holding partners to account and promoting learning and improvement. Therefore the Board is always considering how it can further improve safeguarding practice. The key areas for further development arising from the inspections and ongoing work of the LSCB include:

- Strengthening participation of and engagement with children and young people in the work of the Board to enable children to influence the LSCB's priorities and their delivery more fully.
- Increasing assurance regarding children missing from home and care and the robustness of the partnership response to this.
- Further strengthening our audit approach, including Section 11 audits to ensure that these audits are sufficiently probing and robust.
- Gaining assurance regarding the understanding of risk regarding Children with Special Educational Needs and Disabilities across the partnership.
- Hold partners to account to ensure that the quality and effectiveness of return home interviews and risk management when children are going missing from home or care are evaluated.
- Seeking assurance about the effectiveness of the partnership response to the Trilogy of Risk (domestic abuse, substance misuse and mental health).
- Improve awareness raising of private fostering across the partnership and wider community.

<u>Key Messages</u>

- Workers and agencies work well together to safeguard children in Leicestershire and Rutland.
- Early Help and other services in Leicestershire and Rutland are improving outcomes for children and young people.
- Partnership working on Child Sexual Exploitation is strong.
- Consistency of practice within agencies across a range of areas of work requires improvement. This includes quality of assessment, recording, information sharing and hearing and responding to the voice of children.
- The Board will continue to challenge and drive improvement in safeguarding of children, including developing its own approach to engagement and participation of children and young people, and quality assurance.

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Board Background

The LRLSCB serves the counties of **Leicestershire** and **Rutland**. It is a statutory body established in compliance with The Children Act 2004 (Section13) and The Local Safeguarding Children Boards Regulations 2006. Its work is governed by 'Working Together to Safeguard Children 2015' statutory guidance.

The statutory objectives and functions of LSCBs are set out in Section 14 of the Children Act 2004 and are:

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

During 2016/17 the Board operated under this legislation. The Children and Social Work Act 2017 abolishes Local Safeguarding Children Boards and requires new statutory requirements regarding partnership arrangements for Safeguarding Children to be published. New guidance will be issued in 2017/18 and the new arrangements will be required to be in place during 2019.

The LRLSCB normally meets four times a year alongside its partner Board: the Leicestershire and Rutland Safeguarding Adult Board. Each of the four meetings comprises a Children's Board meeting, an Adults' Board meeting and a Joint meeting of the two Boards. The Board is supported by an integrated Safeguarding Adults and Children Executive Group and a range of subgroups and task and finish groups to deliver the key functions and Business Plan priorities.

The LRLSCB works closely with Leicester City Safeguarding Children's Board (LCLSCB) on several areas of work to ensure effective working across the two areas. The LRLSCB and the LCLSCB have established a joint executive that oversees joint areas of business for the two Boards.

The LSCB is funded through contributions from its partner agencies. In addition to financial contributions, in-kind contributions from partner agencies are essential in allowing the Board to operate effectively. In-kind contributions include partner agencies providing training resource for the inter-agency programme and chairing and participating in the work of the Board and its sub-groups and Leicestershire County Council hosting the Safeguarding Boards Business Office.

Independent Chair

The LRLSCB and the LRSAB are led by a single Independent Chair. The Independence of the Chair of the LSCB is a requirement of Working Together 2015.

The Board's former Independent Chair, Mr Paul Burnett, stepped down at the end of March 2017 after almost six years in the role. Leicestershire and Rutland have agreed to continue to have a joint Chair for both Safeguarding Boards to reflect the need for cross-cutting approaches to safeguarding. Simon Westwood has been appointed as Independent Chair of both Boards commencing in April 2017, initially for one year while the implications of the Children and Social Work Act 2017 and the

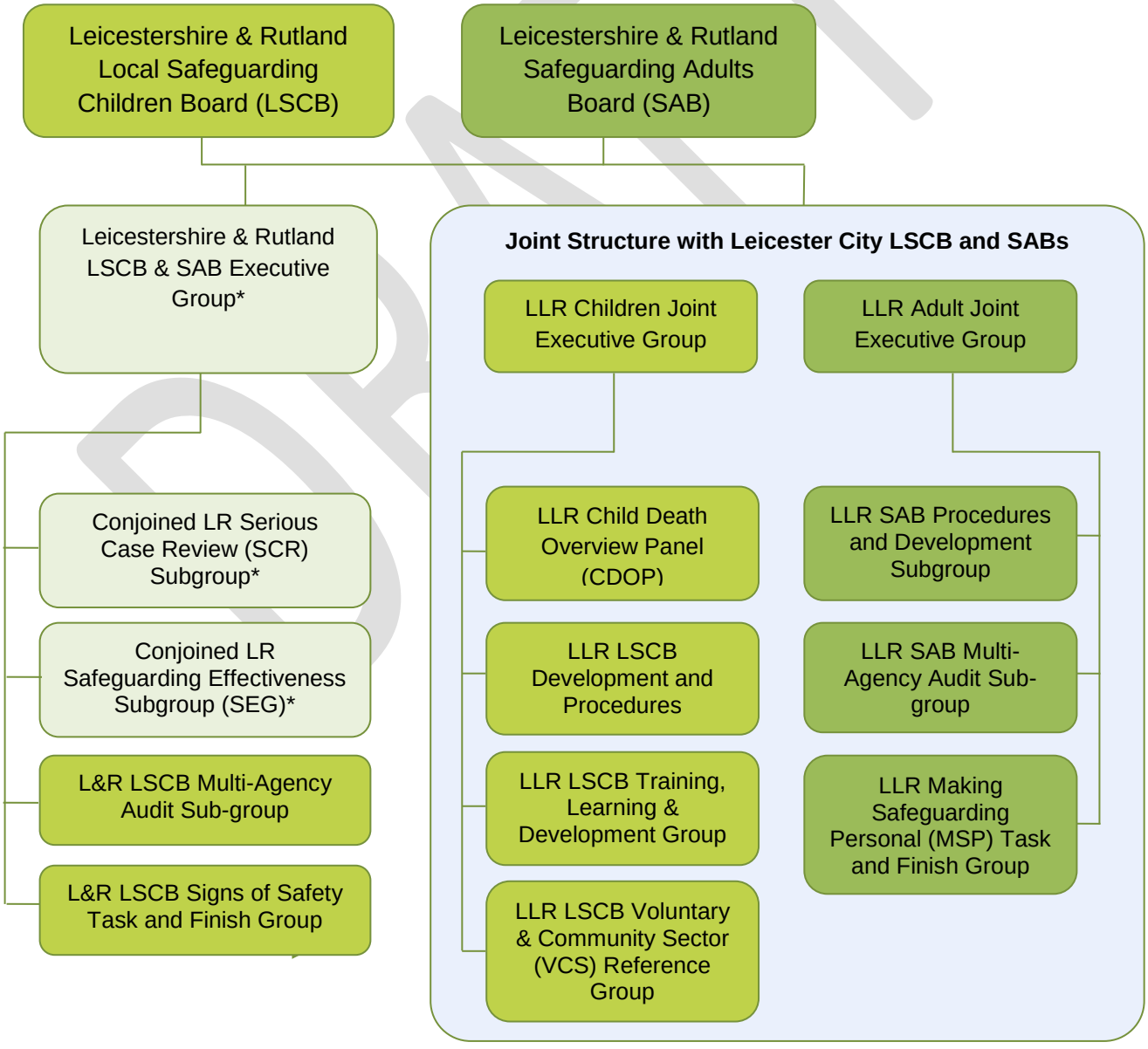
future of partnership arrangements for Safeguarding Children and Adults in Leicestershire and Rutland are considered.

The Independent Chair provides independent scrutiny and challenge of agencies, and better enables each organisation to be held to account for its safeguarding performance.

The Independent Chair is accountable to the Chief Executives of Leicestershire and Rutland County Councils. They, together with the Directors of Children and Adult Services and the Lead Members for Children and Adult Services, formally performance manage the Independent Chair.

Structure of the Board

The Board has established subgroups and task and finish groups to function effectively and achieve its objectives. The structure of the LRLSCB and LRSAB at the end of 2016/17 can be seen below. Membership of the Board can be found at Appendix 1.



Characteristics of Leicestershire & Rutland

Leicestershire is a two-tier authority area with a population of 667,905. There are 134,800 children and young people aged under 18 living in Leicestershire[1].

Rutland is a unitary authority area with a population of 38,022. There are 7,685 children and young people aged under 18 living in Rutland[2].

In Leicestershire, 11.1% of the population identify as from Black / Minority / Ethnic Groups (BME). Among 0-17 year old children and young people, the percentage who are BME is 13.7%, slightly higher than the general population.

In Leicestershire, of those that do not identify as 'White British', the largest groups identify as 'Asian or Asian British' (6.3%) or 'White other' (1.9%).

In Rutland, the percentage of the population who are BME is 5.7%. The largest ethnic monitory group identified in Rutland is 'White other' at 2.1%.

Leicestershire and Rutland both have lower than national averages of children living in poverty.

LSCB Business Plan Priorities 2016/17

Priorities set by the LRLSCB for development and assurance in 2016/17 were to:

- Secure robust and effective arrangements to tackle Child Sexual Exploitation (CSE), Missing and Trafficking
- Maximise the impact of learning from Serious Case Reviews (SCRs) and other reviews
- Champion and support the extension of Signs of Safety (SoS) across the Partnership
- Be assured that thresholds for services are understood across the partnership and applied consistently
- Be assured that Early Help Services are effectively coordinated across the LSCB Partnership and secure outcomes that reduce pressure on child protection and care services
- Be assured that the LLR Neglect strategy increases understanding, identification, risk assessment and management of neglect and reduces prevalence in Leicestershire & Rutland.

In addition the LRLSCB shared the following priorities for joint development and assurance with the LRSAB:

- To be assured that there are robust and effective arrangements to tackle domestic abuse
- To be assured that Mental Health Services incorporate robust arrangements to reduce safeguarding risk to children and adults
- To be assured that the Safeguarding element of the Prevent strategy (Preventing Violent Extremism) is effective and robust across Leicestershire and Rutland.

[1] ONS mid-year population estimates 2014
[2] ONS mid-year population estimates 2014

Safeguarding Children in Leicestershire

From its scrutiny, assurance and learning work the LSCB assesses that whilst there are some areas for improvement organisations are working well together in Leicestershire to safeguard children.

In the Ofsted inspection of services for children in need of help and protection, children looked after and care leavers and review of the effectiveness of the LSCB in Leicestershire Ofsted rated Leicestershire County Council's services overall as 'Requiring Improvement.' In the inspection report they identified that "Children who are at risk of significant harm are identified and protected. However, children potentially in need are not seen in a timely manner and experience delay in receiving the help that they need."

This section outlines developments and data for elements of safeguarding and children services in Leicestershire.

Contact and Assessment

Leicestershire data shows the total number of safeguarding children contacts and enquiries stayed level, with 12,805 in 2016/17 compared to 12,772 in 2015/16. Numbers of contacts from the public reduced overall by 15% compared to the previous year, from 2,051 to 1,702.

A significantly larger proportion of these contacts were referred to Social Care this year. For all contacts, 55% became referrals in 2016/17 compared with 32% in the previous year, and for the public the proportion also increased from 26% to 50% in 2016/17. The increase took place in the second half of the year linked to the introduction of more robust practice in the contact and assessment service, First Response, following the Ofsted inspection of Leicestershire, and the rate of referrals in Leicestershire is now closer to, but still below, the national average.

An initial single assessment is required to take place following each safeguarding referral, within 45 days of the referral. Timely assessments of need support effective safeguarding. The increase in referrals and addressing a backlog of referrals led to a reduction in the proportion of assessments being completed within 45 days from 92% the previous year to 77% in 2016/17. It is anticipated that this is an anomaly, but will continue to be monitored by the Board.

The rate of re-referrals to Social Care in Leicestershire remained low at 17%, compared to 18% the previous year.

Ofsted identified concerns regarding the contact and assessment process in Leicestershire that it did "not provide an effective enough response to contacts and referrals to ensure that all vulnerable families receive a timely response to concerns and needs".

Following Ofsted's inspection, Leicestershire County Council have revised all aspects of the First Response service and implemented an action plan to ensure it is more effective, with a new operational model put in place for May 2017. Developments include: additional social worker and management capacity alongside

administrative resource and further support for less experienced social workers; ICT infrastructure development; practice standards; a revised quality assurance and learning model and improved performance management.

Routine internal audit in Leicestershire will monitor improvements in First Response, looking for consistent application of thresholds, improved quality of assessments and care planning and strong management oversight. Assurance on this will be sought by the Board.

Leicestershire are piloting a joint approach between Social Care and the Police to direct contacts from the Police to the appropriate service. This has corresponded with an increase in referrals to Social Care and a decrease in referrals to Early Help from the Police in the final quarter of the year.

The LSCB thresholds document was updated in July 2016 and new panel structures implemented in Leicestershire to strengthen key decision-making points, including Family Care and Protection meetings, Placement and Additional Resource Panels, Permanence Panels and Integrated Family Panels.

Early Help

In the Inspection in 2016, Ofsted identified that "The local authority's early help offer provides a broad range of effective support and preventative services for children and their families and includes provision of intensive family support. This is having a positive impact on preventing the need for children to become looked after."

The Board reviewed a report on performance and outcomes from Early Help in January 2017.

The number of children and families supported by the Children Centre's Programme, which focuses on supporting families needing extra help especially in the first 1001 days from pregnancy until the child's second birthday, increased. Across the whole programme 10,842 children were supported and 1,423 families were supported on the intensive pathway in 2016/17.

Partnership working between University Hospitals of Leicester (UHL) Midwife service and Children's Centre services has supported an increase in the proportion of families registered with Children Centres to 93%, extending the potential reach of support provided by this programme.

In 2016/17

- The programme was involved with (4,060) 38% of the total number of children living in the 30% most deprived neighbourhoods in the county
- There were 106 Parent Volunteers running 1,557 universal parent led sessions
- The programme worked with 1,296 families known to Social Care.

Feedback from parents accessing the Children Centres programme consistently identifies good outcomes, for example:

- 98% of parents thought that their children were better prepared for school/nursery

- 98% of parents said that they felt better prepared as parents
- 99% of parents reported an improvement in their emotional and mental health

The Supporting Leicestershire Families (SLF) service aims to improve the lives of families by undertaking intensive work with them tackling a range of issues including: unemployment, domestic abuse, truancy, health problems, drugs, and anti-social behaviour. During 2016/17, the service worked with 885 vulnerable families and 498 young people across the county on a one-to-one basis or in groups.

Leicestershire will be further publicising the Children Centres Pathway to Social Care managers and teams, so that children subject to a Child Protection plan are routinely referred for targeted support.

Children in Need and Child Protection

The increase in the number of referrals to social care in Leicestershire led to a 24% increase in the number of Children in Need and the number of children subject to Child Protection Plans.

The number of Children in Need in Leicestershire was 3,015 at the end of the 2016/17. This remains below the national rate, but the Board will continue to monitor this.

In Leicestershire a large part of safeguarding for Children in Need has been to:

- Improve the quality of Child in Need plans and ensure their effectiveness with a particular focus on cases stepped down from Child Protection Plans
- Make clear the Child in Need offer and practices across teams
- Ensure Early Help step up cases appropriately and without delay.

Leicestershire County Council has developed and implemented Children in Need Practice Guidance, appointed three Early Help Senior SW Practitioners and clarified the Early Help pathway. Leicestershire report that teams are starting to manage throughput of work better and families who are likely to need a Child in Need service receive a more timely service and do not have unnecessary changes of Social Worker and team.

Leicestershire County Council are planning to carry out further work to ensure caseloads are consistently manageable, and routine audit shows consistent application of thresholds, improved quality of assessments and care planning and strong management oversight. The Strengthening Families service will be reviewed to ensure a robust Child in Need Service.

Midwives hold a meeting during the thirtieth week of pregnancy for all women identified during pregnancy as requiring additional support and protection for their unborn child. Representatives of the health visitor and social worker attend the meeting that discusses the arrangements for the safe discharge of the woman and baby following the child's birth. During the year, 233 cases were discussed at this forum. This contributes to improved safety and protection for vulnerable babies in addition to the statutory child protection planning processes and is an example of early identification of vulnerability and good partnership working.

The number of Children subject to Child Protection plans also increased by 24% to 434 (provisional figure) at the end of 2016/17.

The proportion of children on Child Protection Plans from a Black and Minority Ethnic (BME) background is 14%, in line with the proportion of the total child population in Leicestershire (13.7%).

In Leicestershire, the largest categories of abuse continued to be neglect and emotional abuse, which featured in 215 and 157 of the 526 Child Protection Plans that commenced in 2016/17 respectively. In the last quarter of the year emotional abuse overtook neglect as the largest category of abuse.

Almost all (96.4%) of Initial Child Protection Conferences (ICPCs) were held within statutory timescales and all child protection cases were reviewed within statutory timescales. This protects against cases being subject to drift or delay in achieving protection for children.

As identified in the last Annual Report of the Board, the rate of repeat child protection plans had risen markedly over an 18-month period to 30.5%, above those of statistical neighbours, and a number of steps were needed to reduce this to ensure robust and lasting outcomes for this cohort of children.

Leicestershire undertook thematic and senior management audits on repeat plans in 2016, followed by a staff conference and discussion at the LSCB to better understand the issues.

This work identified a need to reinforce the procedures and oversight provided in the step-down phase from Child Protection to Child in Need services. In particular there was a need to pay more focused attention to those cases where the 'trilogy of risk' of domestic violence, substance misuse and parental mental health problems are factors and to engage collaboratively with partners.

Children in Need practice guidance was developed and issued and measures put into place to ensure children receive the right service at the right time, reducing the need for repeat Child Protection Plans.

At the end of 2016/17, the average proportion of repeat Child Protection plans was 18.7%, in line with Leicestershire's statistical neighbours (18.1%).

Single agency and multi-agency audits of repeat Child Protection Plan files have assured the LSCB that Child in Need processes once a child is removed from a Child Protection Plan are now more robust, however there is still inconsistency in practice in a few areas, such as recording and information sharing, that requires further work and further review by the Board.

Leicestershire County Council has assessed what has worked well to contribute to this improvement and is using this learning to ensure this progress is sustained moving forward. This includes a focus on performance management, strengthening management oversight and using practice summits.

The LSCB has been monitoring attendance at ICPCs by partner agencies during the year and identified that recording of attendance did not take place at all ICPCs, but where it did there were gaps in attendance by Police, Education and Health representatives. The Police send reports to almost all conferences they do not attend, and multi-agency audits identify that the sending and timeliness of invitations to partners may be one factor in gaps in attendance. Further analysis is required and the Board will continue to monitor this through its Safeguarding Effectiveness Group.

Whilst there has been an improvement in parents receiving reports for ICPCs two days in advance in line with LSCB procedures, this occurred in 49.4% of ICPCs and there is further improvement required.

Feedback from children and families regarding the Children's Rights Service (CRS) that supports children's participation in reviews and access to the appeal and complaints procedure is very positive. Children, young people and their families are reporting that they better understand what is going on, feel heard and well represented due to the CRS and particularly the use of Signs of Safety (SoS).

Leicestershire County Council has introduced a Quality Assurance Alert process into the Independent Reviewing Officer (IRO) service that supports concerns to be escalated and good practice to be recognised.

Fostering and Adoption / Private Fostering

In Leicestershire County Council, the First Response Team, Strengthening Families Teams, Fostering and Adoption Assessment Team and the Team around the Child Teams are jointly responsible for private fostering arrangements taking place in the County.

Leicestershire County Council with the LSCB promotes awareness of the requirement to notify the Local Authority regarding private fostering in the following ways:

- Targeted information is distributed to professionals who may come into contact with privately fostered children such as teachers, GPs, Health Visitors, and School Nurses.
- Internal communication with employees across the County Council.
- Information for the public, such as publicity leaflets are made available in public places such as libraries and health centres.

Compared to our statistical neighbours, Leicestershire should expect to be assessing and supporting up to 50 private fostering arrangements per year.

Despite this work during the year, Leicestershire received only eight new notifications of an arrangement meeting the definition of private fostering, and all of these related to accommodation arrangements for overseas students whilst studying at a single college in the County. Arrangements are made between the school and parent for the care of the child which may include the use of a host family and do constitute a private fostering arrangement.

Ofsted noted that 'numbers of cases being identified in which children are living in private fostering arrangements have remained stubbornly low'.

Leicestershire have developed an action plan to improve numbers of notifications that covers:

a. Further promotion through leaflets, head teacher briefings, communications to colleges and assisted boarding schools, use of social media and radio interviews
b. Provision of information for carers
c. Development of procedures and performance management to support effective working across teams
d. Governance – quarterly report to senior management within the Council and ongoing monitoring by the LSCB.

The Foster Carers Support Team made several improvements during the year to support carers, including establishing a duty system, improved links with Child and Adolescent Mental Health Services (CAMHS) and additional training input.

During the year Support Workers have offered themed individual and group work with young people, for example, safety and Child Sexual Exploitation, building self-esteem, friendships, and have supported young people and carers with CAMHS meetings. The team has 33 Independent visitors who have been matched to young people.

Looked after Children

The number of children looked after by Leicestershire County Council has continued its gradual increase over the past few years to 501 at the end of 2016/17 (provisional figure).

Placement stability has improved with 8% of children having more than 3 placements in a year, compared to 13% in 2015/16. The proportion of those that have been in care for more than 2.5 years that have been in one placement for over 2 years or placed for adoption than last year has increased slightly to 69%.

At the end of the year, 99.4% of cases had been reviewed within the required timescales compared to 98.1% the previous year.

Overall, 95.3% of children over 4 participated in their LAC review, compared with 90.2% in 2015/16, with 50.5% of those over 4 attending and speaking for themselves and many involved in co-chairing the review meeting with the IRO (Independent Reviewing Officer).

Children's involvement and participation is supported by the Children's Rights Service (CRS) which continues to empower children and young people to have their voices heard and provides quarterly reports on messages from Children in Care to the LSCB

However Ofsted identified that "while IROs work hard to involve children in review processes appropriately…" "…a number of children and young people spoken to

describe them as too adult-oriented." The IRO service will look to address this concern in 2017/18.

The CRS will carry out work to increase accessibility to the CRS for younger children, children with disabilities and Unaccompanied Asylum Seeking Children. The service is also developing its evaluation process to help understand performance and support improvement.

Despite improved stability and review outputs, outcomes for care leavers have declined slightly with 79% of care leavers in suitable accommodation compared to 82% last year and 50% of care leavers in education, employment or training compared to 52% last year. These levels are above average compared to statistical neighbours.

The Virtual School which looks after education for Looked After Children has delivered bespoke attachment, trauma and emotion coaching and training in primary, secondary and special schools across the county to ensure Looked After Children's needs and education is supported.

A pilot project in Spring 2017 term enabled some children and young people to access a variety of therapeutic interventions, such as play-, art-, dog-, and equine-therapy. Twenty-nine therapeutic interventions lasting between six and ten weeks are now in place for these children in care.

Ofsted identified that the Virtual School was 'highly effective' and that 'the local authority has invested well' in the service, whilst 'children's progress is extremely well monitored' and that 'many make good progress socially, emotionally, and educationally, considering their starting points'.

Performance in completing Initial Health Assessments for Looked After Children within statutory timescales has been scrutinised by the LSCB during the year. Timely health assessments are important to allow needs of looked after children to be met effectively. Despite improvements in performance part way through the year in Leicestershire, a low proportion were completed within the 28-day statutory timescale and this remains an area for further scrutiny by the LSCB.

Leicestershire County Council has introduced a Quality Assurance Alert process into the Independent Reviewing Officer (IRO) service that supports concerns to be escalated and good practice to be recognised.

The IRO service has highlighted the need for a formal process for oversight of Special Guardianship Order assessments and plans. Further work is to be carried out in the service to ensure drift in cases is challenged by the IRO.

<u>Safeguarding in Education</u>

The numbers of safeguarding children contacts and enquiries from schools increased slightly (4%) in 2016/17 to 2,171 from 2,084 the previous year. However, a significantly larger proportion resulted in a referral to Children's Social Care for further investigation compared to the previous year (61% compared with 38%).

This increase is in line with the general increase in referrals to Social Care in the latter half of the year following changes to practice in First Response. In addition, schools safeguarding training remains well attended with excellent feedback.

The Safeguarding in Education service has provided training to almost 1,000 Designated Safeguarding Leads in schools in Leicestershire.

E-safety surveys were completed by about 5,000 pupils and the e-safety award has been taken up by ten further schools to take the total to 138 schools in the area.

Safeguarding annual returns were completed for most schools in 2016 showing good compliance with safeguarding policies, procedures and practice. The Council and LSCB will continue to develop links with Further Education, Sixth Form colleges and independent schools for safeguarding compliance. We will also establish how well madrasah understand and comply with safeguarding responsibilities and offer appropriate support.

The Anti-Bullying Team at Leicestershire County Council continues to provide anti-bullying advice, guidance, support and training primarily to schools and has supported many schools to achieve the 'Beyond Bullying' Award.

Leicestershire County Council launched a Pupils Missing Education (PME) Operating Framework in autumn 2016 and Ofsted assessed that the Authority had a 'good grasp of PME'.

Under the Prevent Duty (Section 29 of the Counter-Terrorism and Security Act), the Local Authority is working with schools to support the delivery of packages they have developed for young people to divert them away from extremism.

Over 82 WRAP (Workshop to Raise Awareness of Prevent) sessions have been delivered to 60 schools across Leicestershire and compliance with the Prevent duty is high. Leicestershire's Community Safety Team have received calls from schools wanting to discuss concerns about particular young people, again indicating a raised level of awareness of who to contact in the event of concerns.

Police neighbourhood teams provide inputs to children on several topics with links to safeguarding.

Schools have been helped to achieve successful outcomes in safeguarding with all schools inspected being rated 'effective'.

'Beyond Bullying' is cited as an example of good practice nationally.
The schools survey 2016 found that school staff and governors are confident in tackling different types of bullying and young people have championed anti-bullying in schools.

Further work will take place to develop additional resources to help schools support pupils with mental health issues, continue established anti-bullying strategies and develop work with Early Years.

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Children Home Educated

In Leicestershire there was a significant increase in the number of children recorded as in Elective Home Education (EHE), with 440 at the end of 2016/17 compared to 321 at the end of the previous year. The Council report this is an issue seen in other areas, and the causes are uncertain, but being explored. The proportion receiving their required visits has reduced from 87% at the end of last year to 81% at the end of 2016/17.

During the year the externally provided EHE visits service developed closer working relationships with the Medical Needs Practitioners. Joint visits between the two services have been undertaken to assess the education and the impact of their medical needs.

Families are visited annually, with families who are 'suitably' and 'efficiently' educating their children receiving a questionnaire after six months, and more frequent follow up where this is not the case. Parents are asked to complete the questionnaire and return it with work samples.

Leicestershire have embedded 'Signs of Safety' in the EHE referral process and at the point of case closure and all cases are now risk assessed and regularly prioritised using a RAG rating system.

The Council with the visits service have worked hard to identify which families need referring to the Court Team for the issue of a School Attendance Order when appropriate.

One officer in the visits service is concentrating their time on work with the traveller community and this targeted work is working well, with risks for all children managed appropriately.

In the autumn term in 2017, Leicestershire County Council are planning to hold twilight meetings for families educating children at home to:

- Enable families to network
- Provide relevant information for families
- Provide some basic training.

Special Educational Needs and Disabilities (SEND)

During the year, the LSCB and Leicestershire County Council have used learning from national reports to progress safeguarding of children with SEND. Of particular concern were the low numbers of children with SEND on child protection plans.

The Council carried out an initial audit in June 2016 that found good practice in identifying and considering children's disabilities, however there was some inconsistency, particularly in recording regarding disabilities.

The Council held a 'practice summit' in July 2016 to gather the views of professionals in this area, which identified that stronger arrangements between the IRO service and the Disabled Children Service would help ensure that information regarding children with disabilities was correctly recorded to support good outcomes.

Following the summit, the council report that the issue of safeguarding children with SEND has a much higher profile and practitioners clearly identify it as a priority for improvement, both in terms of identification, recording and multi-agency working. The number of children with SEND on Child Protection Plans in Leicestershire has increased since this focus.

The Council has developed practice standards for assessments, plans and section 47 inquiries regarding children with SEND which will be rolled out in 2017 with follow up audits being planned.

As part of the LSCB's 2017-18 Business Plan priority regarding Safeguarding children with SEND the LSCB will carry out a multi-agency organisational self-assessment, which will more clearly identify weaknesses or gaps that need to be addressed.

Local Authority Designated Officer (LADO)

The Local Authority Designated Officer (LADO) gives advice or deals with allegations against adults who are working or volunteering in a position of trust with children or young people in line with the Working Together 2015 requirement for local authorities to have a designated officer to manage allegations against people who work with children.

During 2016/17 the numbers of contacts and referrals to the LADO in Leicestershire stayed level at around 500 contacts and 250 referrals (242). These have resulted in 102 allegations being considered at a strategy meeting compared to 125 in 2015/16.

Over the last couple of years the nature of allegations has not varied significantly. Physical abuse remains the most frequent allegation. The Leicestershire LADO has analysed this and identified that this is related to the number of allegations made by children in residential care placements, following being physically restrained, but that there is little evidence that residential staff members are inappropriately overusing restraint.

As in previous years allegations against teaching staff continue to represent the most frequent source of referrals, however the number of referrals relating to child minder, nursery or playgroup staff has steadily increased over the past couple of years and is now the second most frequent.

In Leicestershire there have been increases in allegations against individuals in a role classified as "health care worker/GP" and "Taxi Driver/Escort" though numbers are low (13 and 10 respectively) so a trend cannot be determined at this time.

Just under a third of the 102 allegations (28 – 27.5%) were deemed to be substantiated. This is lower than the previous year (39 – 31.2%), but otherwise there are no significant variations in outcome compared with previous years.

In the majority of cases a strategy meeting takes place within 3 days of the decision that one is required, in line with local procedures. In Leicestershire 74% took place within 3 days in 2016/17 compared to 72.1% in 2015/16. A smaller proportion took place ten or more days after the decision, 12% compared to 13.8% in 2015/16.

More than 60% of all allegations that proceed to a strategy meeting are resolved at the first meeting, with less than 2% of allegations requiring more than three meetings. These figures represent a reduction in the number of meetings held per allegation compared to previous years.

The Leicestershire LADO is part of East Midlands and National networks to ensure continued learning and sharing of good practice and the LADO is involved in national development of guidance and procedures, particularly regarding cross-border working.

The Ofsted inspection of Leicestershire children's services concluded that "Allegations of abuse, maltreatment or poor practice by professionals or carers are taken seriously and, in all cases examined, the appropriate threshold was applied and a timely response was evident."

Further work to be carried out in 2017/18 will include developing a suite of closure letters to round off the process for individuals involved and improving consistency in recording regarding allegations relating to households.

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Safeguarding Children in Rutland

From its scrutiny, assurance and learning work the LSCB assesses that whilst there are some areas for improvement organisations are working well together in Rutland to safeguard children.

In the Ofsted inspection of services for children in need of help and protection, children looked after and care leavers and review of the effectiveness of the LSCB in Rutland Ofsted rated Rutland County Council's services overall as 'Requiring Improvement.' In the inspection report they identified that "While no children were found to be at immediate risk of harm and most have improving outcomes, the quality of practice in assessment, planning and management oversight is too variable. When immediate risks are identified, child protection enquiries are timely and thorough. However, emerging risks and concerns are often not recognised or addressed as swiftly as they could be, leaving some children vulnerable to further harm."

This section outlines developments and data for elements of safeguarding and children services in Rutland

Contact and Assessment

Rutland data shows a slight increase in the total number of safeguarding children contacts and enquiries from 901 during 2015/16 to 932 during 2016/17 (3.5%). The conversion rate from contacts to referral to Social Care in Rutland remained at a similar level to the previous year, at 39%.

The number of contacts for the public increased during the year, and 29% of the 93 contacts were referred on to Social Care.

An initial single assessment is required to take place following each safeguarding referral within 45 days of the referral. Rutland completed 80% of single assessments within 45 days, an increase compared to 68% in 2015/16, and in line with levels in previous years. In the last half of the year, 94% of assessments were completed within 45 days.

The rate of re-referrals to Social Care in Rutland was slightly lower than last year at 26%, but had increased in the last quarter. This will continue to be reviewed.

During the year Rutland County Council have appointed a permanent head of service and service manager, increased support for services through Business Intelligence and set out clear expectations around practice and performance. Assessment quality, identified as a concern in LSCB and Rutland County Council audits, and by Ofsted in their inspection, was improving at the end of the year.

The Council are continuing to develop group supervision in the service to support good practice and management oversight.

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Early Help

The Ofsted inspection reported that “Early help services are effective. A wide range of evidence-based interventions provided are successfully helping to improve circumstances for children and families.”

The Board reviewed a report on performance and outcomes from Early Help in January 2017.

The number of families receiving support through Early Help services increased from 119 at the end of 2015/16 to 198 at the end of 2016/17.

Partnership working between University Hospitals of Leicester (UHL) Midwife service and Children’s Centre services has supported a significant increase in the proportion of families registered with Children Centres from 82% at the end of 2015/16 to 96% at the end of 2016/17.

Rutland has seen improved levels of engagement in the Children’s Centres, from 68% to 75% of families and 85% of families within the Children Centres programme report that their needs have been fully met.

The ‘Changing Lives Rutland’ Troubled Families programme were supporting 78 families at the end of the year compared to 17 at the end of 2015/16 and 52 children were receiving targeted one-to-one Children’s Centres involvement in Rutland. Sixteen additional families achieved planned payment by results outcomes on the ‘Changing Lives Rutland’.

Signs of Safety has been embedded across the Early Help service and Early Help co-ordinators continue to offer support and case discussions to partner agencies, including schools, health visitors and Police.

Rutland County Council Early Help worked jointly on 35% of their cases with Social Care and fewer cases were ‘stepped up’ from Early Help to Social Care (3) than the previous year (28).

Early Help cases are subject to the Quality Assurance and Performance process and cases are audited monthly by the Council. The Council also carries out a quality check on external Early Help assessments to ensure children and families get the right support.

Rutland internal quality audits of Early Help have shown an improvement in capturing and responding to Voice of the Child and focus of assessments.

The Early Help workforce is stable and families receive a consistent worker. Partner agencies, especially schools, report high levels of confidence and feel supported by Early Help services in Rutland.

Caseloads remain stable at 16.5 children and staff report feeling supported and receiving training and development.

Rutland will further quality test the Early Help Care Pathway in 2017/18 to ensure it is robust and focused on outcomes.

Children in Need and Child Protection

Despite the number of referrals to social care remaining at a similar level there has been a reduction in the number of Children in Need and the number of Children Subject to Child Protection Plans in Rutland.

The number of Children in Need in Rutland at the end of the 2016/17 was 90, almost half that at the end of 2015/16 (170), and well below the national rate. Commentary awaited.

Rutland County Council Social Care and midwives have telephone contact during the thirtieth week of pregnancy for all women identified during pregnancy as requiring additional support and protection for their unborn child. This contributes to improved safety and protection for vulnerable babies in addition to the statutory child protection planning processes and is an example of early identification of vulnerability and good partnership working.

The number of children subject to Child Protection Plans dropped from 29 to 22 at the end of the year. No children have been subject to a Child Protection Plan for more than two years and the percentage of repeat Child Protection Plans in Rutland is 20%.

In Rutland, the largest categories of abuse were neglect and emotional abuse, featuring in 16 and 15 of the 41 Child Protection Plans that commenced during 2016/17 respectively.

All child protection cases were reviewed within statutory timescales. This protects against cases being subject to drift or delay in achieving protection for children.

The LSCBs multi-agency audits identified inconsistency in practice in a few areas, such as recording, information sharing and hearing the voice of children. Rutland County Council have introduced developments to support this, including group supervision, practice workshops and clear expectations around practice and performance. This is showing some improvements by the end of the year, but requires further work and further review by the Board.

The LSCB has been monitoring attendance at ICPCs by partner agencies during the year.

At the beginning of the year, Rutland developed and delivered multi-agency training to embed the solution focused approach to the Child Protection Conferences which has resulted in improved engagement of parents, understanding the risks and contributing to the formulation of the plan. The ownership of the plan has in turn seen actions being progressed and completed thus preventing drift and children remaining subjects of Child Protection Plans for long periods.

The training has also improved the quality of reports to conference, embedded Signs of Safety in the approach and resulted in improved attendance from partner agencies

and information being provided in a timely manner when they were unable to attend. During the year, all but one ICPC had Health and Education representatives. The Police attended nine of the nineteen ICPCs and, in line with local agreements, sent reports to all the others.

Fostering and Adoption

Ofsted identified some shortfalls regarding fostering in Rutland including assessment of carers and challenge within fostering panels. Rutland County Council have reviewed the fostering and adoption service, have set clear expectations regarding practice and performance. By the end of the year the service had ensured all reviews of foster carers were up to date and had resolved all complaints.

Rutland County Council have developed an annual training programme for Foster Carers and updated the Statement of Purpose and Foster Carer Charter.

Under-reporting of private fostering is an ongoing concern. Despite further awareness work during the year Rutland had no referrals for Private Fostering in 2016/17.

In response to this Ofsted made a recommendation for the LSCB in its inspection report for Rutland to “Improve awareness raising of private fostering across the partnership and wider community.” This is being taken forward as part of the Board’s improvement plan.

Rutland County Council is reviewing its processes for oversight of foster panels, developing group supervision, looking to embed Signs of Safety and reviewing its Service Level Agreement with Leicestershire County Council regarding Private Fostering to ensure good quality practice and services for Children Looked After.

Children Looked After

The number of children looked after by Rutland County Council has continued its gradual increase over the past few years to 42 at the end of 2016/17. Placement stability has continued to be good with no children having more than 3 placements in a year, and though a lower proportion of those that have been in care for more than 2.5 years have been in one placement for over 2 years or placed for adoption than last year (73% compared to 88%) this remains above the national average.

During the year all cases were reviewed within required timescales.

Ofsted recognised that the service for care leavers is good. All care leavers are in suitable accommodation, and while there has been a drop in the proportion of care leavers in education, employment or training (to 78% from 87% last year) this remains high compared to the national average.
Performance in completing Initial Health Assessments for Children Looked After, within statutory timescales has been scrutinised by the LSCB during the year. Timely health assessments are important to allow needs of children looked after to be met effectively. A low proportion were completed within the 28-day statutory timescale at the start of the year, however in the last quarter of the year all were completed in that timescale in Rutland.

Safeguarding in Education

The number of contacts and enquiries to Rutland County Council from schools increased (15%) in 2016/17 to 185 from 161 the previous year. A slightly lower proportion resulted in a referral to Children's Social Care for further investigation as the previous year (51% compared with 55%).

A survey of schools and early years establishments in Rutland was carried out in autumn 2016 to establish compliance regarding safeguarding in these places.

Safeguarding annual returns were completed for most schools in 2016 showing good compliance with safeguarding policies, procedures and practice.

Training for schools in Rutland through the adult learning support service reflects the national agenda, offering nationally accredited training, including:

- Designated Person training
- Prevent training

The Virtual School which looks after education for Children looked after (CLA) to ensure their needs and education is supported in their education settings has run a programme of training which has included:

- Trauma training for the Virtual School Head
- Carers workshop
- Designated Teacher for CLA annual training

Headteacher strategy meetings have included:

- Training for headteachers on building school resilience in managing pupils with mental health issues and SEND.
- Training on attachment disorders

Children Home Educated

At the end of the year five children in Rutland were registered as Home Educated. For all Children Home Educated a visit is made on a date mutually agreed at the start of the process and follow up visits annually by arrangement. All children in Rutland had received their annual visit during the year.

During the year Rutland have developed their process regarding Children Home Educated to ensure checks are carried out with Social Care and The Voice of the child is always captured where possible.

This work has increased opportunities for children and families to have access to other agencies e.g. Early Help, Aiming High, Youth Options.

Special Educational Needs and Disabilities

Rutland County Council audited all Children with Disabilities cases in April 2016 to ensure there were no safeguarding concerns. A report was submitted to the LSCB to support the development of the Business Plan Priority for 2017/18 and an action plan in response to this audit and the Ofsted Safeguarding children with disabilities report is being implemented.

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Rutland County Council are undertaking a Self-assessment of the SEND and Inclusion service, from which an action plan will be developed and a set of practice standards. The Council's review of the 'front door' process and pathway will include looking to ensure a timely response to children with additional needs

Independent Reviewing Officer (IRO)

Rutland appointed a permanent Safeguarding and Quality Assurance Manager during the year. They have worked to develop the safeguarding service including:

- Processes for improved communication with parents
- Improving case auditing
- Processes for escalating and resolving practice alerts
- Developing workshops for practitioners
- Improving engagement and participation of children and families and seeking their feedback.

Children and their families are providing feedback following the Child Protection Conferences and CLA reviews which is showing an improving picture. The following Case study outlines the improvements:

One mother recently attended an Initial Child Protection Conference for her three children who had previously been subjects of Child Protection plans. She felt very angry and negative towards CSC and partner agencies and spoke about how she had become upset and had stormed out of the meeting previously. Time was invested to prepare her for the ICPC, she was encouraged to contribute and her views were respected. The Signs of Safety visual model enabled her to process the information and to recognise the risks. The many strengths were acknowledged " I'm liking this….I'm liking this lot " mother exclaimed. Her body language was positive. She was in the meeting, an integral part and did not leave feeling 'done-to,' as she previously had. The mother was able to manage the whole meeting and felt heard. She was also able to hear and respect the professionals concerns. She identified actions for herself and her partner, set clear timescales and was holding the professionals to account regarding them providing the support that had been identified. The mother and the Social Worker who requested the ICPC were able to leave the meeting together (Social Worker offered to transport mother to school to collect her children) thus showing the importance of respect and engagement for healthy relationship building which results in better outcomes for children and their families.

Rutland County Council has established an ARC (At Risk Children)/CLA (Children Looked After) Panel, which is chaired by the Head of Children's Social Care and reviews all children subject to Child Protection Plans over 12 months, ensures oversight of all children looked after as well as agreeing and ratifying decisions made around children becoming looked after. Education and Health Partners are engaged with this process and attend the panel.

The ARC/LAC panel supports good management oversight and timely decision making along with creative solutions to complex situations being explored and implemented.

Further work will be undertaken with social care workers to build upon the progress that has been made particularly in regards to engaging children, parents and the extended family.

LADO

The Local Authority Designated Officer (LADO) gives advice or deals with allegations against adults who are working or volunteering in a position of trust with children or young people in line with the Working Together 2015 requirement for local authorities to have a designated officer to manage allegations against people who work with children.

During 2016/17 the numbers of enquiries to the LADO in Rutland increased by from fourteen to twenty-three (64% increase). This is similar to the level two years ago, although Rutland County Council reports that during the first half of 2016/17 recording and analysis of information was not consistent. These enquiries have resulted in eight allegations being considered at a complex strategy meeting compared to five in 2015/16. Nine contacts were enquiries for advice, and the other six contacts were logged and closed following consultation by the LADO and advice given.

Over the last couple of years the nature of allegations has not varied significantly. Physical abuse remains the most frequent allegation.

Staff in children's residential care represented the most frequent subject of enquiries, however all but one related to a single establishment. Advice and guidance has been given to that establishment regarding robust reporting and further training followed by education staff in nurseries, schools and colleges.

Four of the eight allegations were deemed to be substantiated, one fewer than the previous year.

The Rutland LADO is part of East Midlands network. The LADO has been raising awareness of the role through local professional groups, and plans to expand this further by facilitating training sessions over the next year. The LADO is also working with the IT and performance teams to develop effective recording on the social care management system to enable capture of reliable data, to support robust analysis of themes.

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Safeguarding Children in Leicestershire and Rutland

Voluntary Sector Safeguarding Assurance

As part of its assurance work the Board has commissioned Voluntary Action LeicesterShire (VAL) to carry out a survey to assess safeguarding approaches across the community, voluntary and independent sector.

The project commenced in August 2016 to run for two years. The project has been promoted through voluntary sector communication channels, newsletters and forums encouraging voluntary sector groups across the two Counties to complete the questionnaire in a paper, online format or by telephone. In addition, VAL has been contacting and following up agencies directly by telephone to encourage completion. The questionnaire contains questions to ascertain safeguarding practice in voluntary and community sector agencies and VAL provide follow-up advice to agencies where gaps in knowledge and practice are identified by the return of the survey.

For the nine months to April 2017, 150 organisations had responded to the survey covering 7,438 volunteers and 1,962 paid staff across the two counties.

The key findings for those agencies include:

- Staff or volunteers have received safeguarding training in 86% of organisations
- 85% of organisations have a designated lead person for safeguarding concerns
- 87% of organisations have carried out DBS checks, though only 62% have carried out DBS checks for both relevant staff and volunteers, though this may be impacted by their workforce make up.
- 47% of organisations were aware of the LSCBs online procedures and only 34% of the Threshold guidance
- 24% of agencies use the Leicestershire & Rutland Safeguarding Competency framework.
- 15% of organisations do not have policies in place for Allegations against members of staff.
- 28% of organisations do not have policies in place for Whistle Blowing volunteers.

These findings suggest good coverage of safeguarding training and awareness in the voluntary and community sector, but a small minority of organisations that do not have robust safeguarding training, understanding or procedures. The nature of the project means that VAL has been able to signpost and support organisations to improve their procedures and practice and gain training as required.

The full findings of the project will be analysed when the project finishes in 2018.

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Business Development Plan Priorities

LSCB Priority 1 – Secure robust and effective arrangements to tackle Child Sexual Exploitation (CSE), Missing and Trafficking

We planned to…

- Develop a programme of communication activity and training initiatives appropriate and relevant to a wide range of individuals and groups
- Develop and implement a specialist response to those children going missing from home or care, at the highest risk
- Ensure learning from return interviews for children going missing is collated and acted upon
- Identify audit opportunities to test improved safeguarding outcomes
- Monitor and review progress of Strategic Partnership Development Fund (SPDF) CSE programme implementation
- Review current commissioning arrangements for post-abuse services to determine whether they are well planned, informed and effective
- Assess and evaluate the sufficiency of current services to offer specialist interventions, specifically post abuse
- Ensure the needs of children and young people regarding CSE are represented in the Health and Well-Being Strategy

We did…

- Transferred the ownership of the development work on CSE to a CSE, Trafficking and Missing Executive and Operational Group outside of the LSCB structure but reporting into the LSCB for assurance.
- Built on joined up approaches through integration of specialist CSE Nurses into the already established multi-agency CSE team and co-location of City Council staff with the team.
- Through the LLR Strategic Partnership Development Fund (SPDF) CSE:
- Extended the CEASE (Commitment to Eradicate Abuse and Sexual Exploitation) campaign
- Rolled out the Kayleigh's Love Story film to local school children
- Extended the 'Warning Zone' safety education centre to incorporate an e-Safety zone
- Strengthened the CSE multi-agency team with an intelligence analyst; a psychologist; a parenting support coordinator; and a service manager to jointly oversee the team with the Detective Inspector
- Relaunched the CSE information sharing form to enable partners to more easily share soft intelligence about CSE concerns
- Ensured children at risk of CSE are flagged on health records visible to GPs, school nurses, health visitors, CAMHS, out of hours services and integrated sexual health services.
- Supported single agency training and the embedding of CSE champions in services.

For impact and further developments required, see overleaf.

The impact was…

- Ofsted found that work with children at risk of CSE is strong, both strategically and operationally, through both mainstream and dedicated services.
- The number of referrals to the multi-agency team where CSE concerns were identified levelled off in Leicestershire at around 300 and increased in Rutland from 8 to 29. The profile of referrals has changed with an overall reduction in the level of risk and harm identified. Further research needs to be undertaken but suggests a successful outcome of the local strategy i.e. children at risk of harm are being identified earlier and intervention to reduce risk and harm to children is effective.
- The number of referrals where online CSE is a feature has increased by 100% over the past 12 months mirroring the national trend. There has been increasing numbers of referrals related to children under the age of 12, with the majority of these referrals linked to online CSE. Over 70% of all referrals related to children living at home highlighting the importance of raising awareness with parents and carers.
- The quality of referrals has improved following practice developments such as training and internal processes.
- A wider range of professionals have directly contacted the multi-agency CSE team for consultation. There have been more direct referrals from health professionals following the introduction of specialist CSE Nurses to the team.
- Co-location of partners in the multi-agency CSE team has significantly assisted in the development of the collective understanding of those at risk of CSE resulting in direct allocations to the team for support. Profiling of suspects, perpetrators and locations has been instrumental in the development of increasing numbers of joint investigations, increased levels of enforcement activity and more trials resulting in successful prosecutions.
- The level of post-trial support and recovery for victims of CSE has improved due to the specialist CSE Nurses identifying clearer pathways for children.
- The Kayleigh's Love Story film was rolled out to over 55,000 school children across Leicester, Leicestershire & Rutland leading to over 30 substantial disclosures. The award winning film has been viewed by over 30 million people worldwide on social media and has been rolled out in many other local areas as part of their prevention campaigns.
- During 2016-17 the total number of children reported missing in Leicestershire and Rutland has remained comparable to 2015-16; however, overall the total number of times children have been reported missing has been reducing. This change requires further investigation although it is believed to be as a result of the effectiveness of earlier intervention with children going missing for the first time and more targeted responses where children have been frequently missing. Over 30% of reports of missing children in Leicestershire are related to children placed in the area in private children's homes by other local authorities.
- Central coordination of the response to missing children through the multi-agency CSE team has led to improvements in the follow up to the report of missing episodes. Return interviews are now being allocated and completed in a more timely way, in most cases within the 72 hour timespan identified in statutory guidance.

Further development required…

- Full integration of LLR partners into the multi-agency CSE team – children, families and perpetrators all cross borders
- A programme of school prevention activity is planned during 2017-18 encompassing the continued roll out of the Kayleigh's Love Story film, the development of a CSE toolkit for schools and the re-commissioning of Chelsea's Choice to tour in the Autumn term.
- Develop work with primary age children in relation to reducing the risk of online CSE
- Build the intelligence picture in relation to risky persons and offenders to enable a more targeted approach in managing threat and risk
- Collate the information gathered from missing children return interviews to support the development of shared intelligence in line with Ofsted recommendations
- A partnership forum with local children's homes providers is planned as part of the strategy to reduce the risk of harm to children in care placed by other local authorities in the area
- Continue to monitor the type and level of support and recovery services offered to victims of CSE including a specialist parents support worker and peer support group following feedback from several families affected by CSE
- Continue awareness raising campaigns aimed at and co-designed with parents and carers.

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LSCB Priority 2 – Maximise the impact of learning from Serious Case Reviews (SCRs) and other reviews

We planned to…

- Ensure that recommendations from SCRs and other reviews locally and nationally are disseminated, acted upon and positively impact on the quality of safeguarding services and their outcomes for children, young people and families.
- Ensure that appropriate workforce development takes place to ensure staff can implement required change
- Incorporate specific learning themes into the Quality Assurance and Performance Management Framework to test impact on service quality and outcomes for children, young people and families:
    - Young people Suicide and Self-Harm
    - Bruising to non-mobile babies
    - Effective Information Sharing
    - Case Supervision
    - Vulnerable Looked after Children
    - Transient Families
    - Domestic Abuse in families with children

We did…

- Used our Safeguarding Matters publication and ran two multi-agency learning events to highlight the learning from SCR's and alternative reviews to the partnership workforce.
- Collated and distributed learning from SCR's across the country to local agencies through the SCR sub group, incorporating themes that needed further work in Leicestershire and Rutland into the Business planning process.
- Worked to respond to early learning from reviews to ensure any necessary changes to procedures or practice is timely. This included identification of a need for a Children in Need (CIN) protocol and developing solutions for people whose first language is not English.
- Monitored data regarding Bruising to non-mobile babies.
- Incorporated Effective Information Sharing and Case Supervision as key parts of all multi-agency case file audits undertaken by the Board. Specific work was undertaken to increase GP awareness regarding effective information sharing for safeguarding children.
- Ran a quarterly partnership Looked After Children (LAC) networking meeting across Leicester, Leicestershire and Rutland troubleshooting individual cases and sharing good practice.
- The Local Authorities undertook single audits of their practice with regard to Looked After Children.
- Included Cross border protocol for LAC in the multi-agency LSCB procedures
- Operation Encompass which improves information sharing with schools regarding domestic abuse where children are present commenced in Rutland, having been implemented in Leicestershire in 2015.

The impact was…

- It is too early to measure impact of many of the approaches put into place.
- A recent multi agency review of a live case regarding self-harm showed that the young person involved had received a formal diagnosis in respect of their mental health needs and is receiving the correct medication to support them coping with their condition.
- Case audits show greater confidence in the workforce regarding information sharing and what can be shared appropriately.
- A review carried out in 2016 showed evidence of improvements in practice and outcomes with regard to Vulnerable Looked after Children

Further development required…

- Practice regarding Vulnerable Looked after Children to be tested further by multi-agency and single agency case file audit.
- Continue to follow up routes for providing information to people whose first language is not English.
- A multi-agency audit of practice regarding domestic abuse will take place following implementation of the domestic abuse information sharing pathways, which remain in development.
- Final sign off of the regional protocol for children on Child in Need plans is awaited, however local procedures for Children in Need will be updated in line with the proposed protocol in the meantime.

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LSCB Priority 3 – Champion and support the extension of Signs of Safety (SoS) across the Partnership

We planned to…

- **Workforce Learning & Development**
  To introduce the SoS approach to agencies across the LSCB partnership so that professionals have a clear understanding of the ethos, use a common language and are familiar with the processes and the disciplines of the approach and all partners can contribute effectively in all meetings
- **Organisational Alignment**
  Ensure that relevant LSCB processes, systems and forms align with and support Signs of Safety practice across the partnership
- **Leadership**
  Across the LSCB, leaders and managers understand, support and actively promote the Signs of Safety approach
- **Meaningful Measurement**
  Ensure LSCB Quality Assurance processes are in place to assess and measure the quality across the partnership and the impact of the extension of the SoS approach.

We did…

Workforce Learning & Development

- Held 3 Introduction to Signs of Safety Briefing sessions open to partner agencies and 1 Introduction to Words and Pictures session
- Set up a SoS webpage on the Safeguarding Boards website containing links, information and PowerPoint: http://lrsb.org.uk/signs-of-safety
- Used the Appreciative Inquiry methodology to review cases
- Shared tools including surveys and audits developed across the partnership.

Organisational Alignment

- Leicestershire and Rutland worked together to develop and align their approach in relation to case conferences
- Developed and piloted of SoS compliant report to conference and associated Guidance Notes

Leadership

- Held a Deliberative Inquiry on SoS at an LSCB meeting to help develop a shared understanding

Meaningful Measurement

- Incorporated consideration and testing of SoS in design of single agency and LSCB audit tools
- Reviewed feedback from parents through the Safeguarding Effectiveness Group (SEG).

The impact was…

- Of the 80 practitioners who attended the Signs of Safety briefings all rated a significant increase in their knowledge, skills and confidence in the approach with specific points to improve practice.
- In Rutland, the Local Authority has trialled a young person chairing their own CP conference, and all CP conferences follow a Strengthening Families format, which is more inclusive for the young person and family, and supports the family and young people to put forward their own views and opinions.
- In Leicestershire, the majority of children (81%) rate the extent to which people who are working with them are listening to and acting on what they said as over 7 out of 10.

Further development required…

- Embedding Signs of Safety is acknowledged as requiring more than short term intensive action, and the need for further development to embed Signs of Safety across the partnership has been identified.
- The Deliberative Inquiry at the Board identified a gap in understanding of and support for the Signs of Safety approach at a Leadership level.
- Further work is required to gain evidence that the extension of the SoS approach across the partnership has value and positive impact for families.
- In addition, further work is required to ensure that practitioners across agencies understand how Signs of Safety is used in practice and can contribute effectively at all key decision making points and to gain feedback from staff of the SoS methodology on their practice.
- In April 2017, Leicester City Local Authority Children's Services signed up to the implementation of Signs of Safety so future multi-agency developments will be implemented across Leicester, Leicestershire and Rutland including the Multi-agency referral form.

LSCB Priority 4 – Be assured that thresholds for services are understood across the partnership and applied consistently

We planned to…

- Test multi-agency understanding and application of safeguarding thresholds in Leicestershire and Rutland through the four quadrant QAPM framework, tracking the data through the Safeguarding Effectiveness Group (SEG) and reporting issues to the Executive Group and the Board
- Ensure that referrals to Children's Social Care (CSC) are made in accordance with current thresholds
- Ensure that appropriate referrals are being made to Early Help from the Healthy Child programme
- Establish the levels of referrals to CSC from the public and encourage appropriate referrals by an awareness campaign
- Establish and report on what constitutes No Further Action in regard to referrals and encourage a shared consistent language across LLR.

We did…

- Put the updated Thresholds document on the LSCB website
- Distributed thresholds business cards to staff across agencies with clear 'signpost' to the Thresholds document on the website
- Undertook a multi-agency audit into repeat or subsequent Child Protection Plan (CPP).
- SEG now obtains data from the Health Visitor Healthy Child programme of Universal, Universal Plus and Universal Partnership Plus levels of service and monitors through the SEG dataset.
- We have established the levels of referrals to CSC from the public
  A report on No Further Actions (NFAs) was completed and a better understanding of what constitutes NFA has been established across LLR

The impact was…

- Feedback on referrals that don't meet the thresholds is provided to agency managers
- There is now consistent reporting through SEG regarding thresholds and through the partnership.
- Referrals from the public are good so no campaign is needed at this time.

Further development required…

- Audit revealed the requirement to strengthen Child in Need action plans and multi-agency commitment to recognise this when children are removed from Child Protection Plans. This work is being progressed as part of the Children in Need multi-agency protocol.
- Ofsted identified gaps in quality and consistency of assessment in Leicestershire & Rutland and the LSCB will continue to monitor developments on this

LSCB Priority 5 – Be assured that Early Help Services are effectively coordinated across the LSCB Partnership and secure outcomes that reduce pressure on child protection and care services

We planned to…

- Deliver a robust Early Help offer across Leicestershire and Rutland through integrated working and implementation of the Early Help Assessment (EHA) and team around the family approach
- Devise an outcomes framework for Early Help
- Review and evaluate local programmes once a year in order to ensure quality, equity and value for money
- Monitor performance of delivery plans that support local area strategic priorities regarding Early Help.

We did…

- Developed a common Early Help scorecard
- Local Authorities created and implemented common referral, triage, assessment and support planning procedures to support the multi-agency system
- The LSCB received a report in January 2017 regarding progress and performance of Early Help in the two Local Authority areas, in addition to incorporation of Early Help metrics in the performance framework.

The impact was…

- The Board is assured that Early Help is having an impact on outcomes for children – for example, of the cases closed in the year in Rutland, 83% have had needs met and, in Leicestershire, 60% of families made positive progress across a range of areas.
- There has been a reduction in the number of cases stepped up to Social Care in both Leicestershire and Rutland.
- The step-up and step-down process is embedded and thresholds for Early Help intervention are appropriate
- Ofsted's inspections in Leicestershire and Rutland identified Early Help services to be effective and improving outcomes.

Further development required…

- The Early Help evidence base needs developing to be able to identify 'promising' interventions and test their impact.
- Some inconsistency of partner engagement in Early Help remains and systems are not uniformly 'integrated'. The Heads of Early Help services are creating an Early Help Framework across the partnership to move this forward.
- Information sharing remains a practical barrier to multi-agency working for both technical and cultural reasons. Some solutions will be considered through the Training and Development Subgroup in 2017/18.
- Testing of step-up and step-down processes will be part of the LSCB business as usual and will be monitored through a multi-agency audit and assurance data being reviewed by the Safeguarding Effectiveness Group (SEG).

LSCB Priority 6 – Be assured that the LLR Neglect strategy increases understanding, identification, risk assessment and management of neglect and reduces prevalence in Leicestershire & Rutland

We planned to…

- Develop and publish the Neglect Strategy to create a standard across partnership agencies to identify, assess risk and manage Child Neglect
- Develop and launch Neglect Toolkit to ensure improved and consistent identification, risk assessment and management of Child Neglect across Leicester, Leicestershire & Rutland (LLR) partnership agencies and review LLR procedures
- Promote LLR Practice Guidance to ensure buy-in of frontline practitioners

We did…

- Launched the LLR Neglect Strategy, Practice Guidance and Toolkit in July 2016, at a multi-agency and community event.
- Ran seven training sessions on the toolkit attended by 404 people.
- Following an initial six-month period of embedding the Toolkit into frontline practice, we conducted a survey of practitioners to assess the impact on the detection and assessment of neglect.
- Agencies, such as LPT, have incorporated the Neglect toolkit into training and internal processes

The impact was…

- Both Leicestershire and Rutland saw an increase in cases where Neglect was a factor during 2016 following the launch and training.
- The survey found that:
  - The LLR LSCB Neglect Toolkit is still being embedded and it is too soon to measure the impact and also obtain the voice of the child
  - Practitioners report the Toolkit is useful in identifying and evidencing neglect, as well as for explaining neglect and the areas that parents need to improve.
  - Practitioners will require ongoing reminders regarding the toolkit
- A multi-agency case file audit regarding Neglect in March 2017 found that where the Toolkit had been used this had improved the practice in supporting the child.

Further development required…

- Further work is required to embed the toolkit in practice. Numbers of neglect cases dropped to previous levels in the last quarter of the year and the multi-agency case file audit regarding Neglect found that the toolkit had not been used in the majority of cases.
- Managers and professionals need to continue to raise awareness of the LLR Neglect Practice Guidance, procedures, toolkit and escalation policy, particularly through supervision.
- The LSCB will continue to promote the toolkit and its benefits and carry out further work to support embedding of this approach in practice.
- A further survey will be carried out in 2017/18 to identify progress and gain practitioner feedback on the toolkit.

In addition the LRLSCB shared three priorities for development and assurance with the LRSAB:

LSCB / SAB Priority 1: To be assured that there are robust and effective arrangements to tackle domestic abuse

We planned to…

- Scrutinise the new Domestic Abuse Pathway for services for victims (including children, young people and adults) ensuring it is fit for purpose and embedded across the partnership (UAVA)
- Ensure that there are effective information sharing arrangements in place to support the effective delivery of the pathway for services
- Be assured that there are effective preventative processes and intervention services in place for domestic abuse perpetrators.

We did…

- Reviewed progress on the domestic abuse pathway work and domestic abuse data and identified key gaps between the capacity of Independent Domestic Violence Advocate (IDVA) services and the demands being placed upon those services.
- The work on domestic abuse pathways has identified some elements of the system where Domestic Abuse related information sharing pathways work effectively, and where there are some high profile gaps.
- The Leicester, Leicestershire and Rutland Domestic Violence Delivery Group (DVDG) has worked to develop the use of Integrated Offender Management (IOM) to reduce the harm caused by DV perpetrators.

The impact was…

- Partners secured additional funding to increase IDVA services from April 2017.
- Reports of DA to the Police reduced compared to the previous year in both Leicestershire and Rutland, but referrals to MARAC increased.
- The majority of people from Leicestershire and Rutland receiving support regarding domestic abuse felt safer (88% and 98% respectively)
- Data is not yet available to measure effectiveness of the IOM approach.

Further development required…

- The DVDG is seeking further funding to increase the capacity of the Multi-Agency Risk Assessment Conference (MARAC) and its support functions to improve the overall response to domestic abuse across the partnership landscape.
- The Task and Finish Group were unable to complete work on the pathways, affected by complexity of pathways and capacity within agencies. This is being further considered by the Community Safety Partnerships.
- A Priority Perpetrator Intervention Tool and the CARA (Conditional Cautioning and Relationship Abuse) programme are being introduced in the area in 2017 to enhance the range of options and consistency of practice with regard to domestic abuse perpetrators.
- The LSCB will continue to monitor domestic abuse impact and further develop approaches through the joint priority on the Trilogy of Risk (Domestic Abuse, Substance Misuse and Mental Health).

LSCB / SAB Priority 2: To be assured that Mental Health Services incorporate robust arrangements to reduce safeguarding risk to children and adults

We planned to…

- Seek assurance from the **Suicide** Prevention Plan Strategy Group that the strategy is reducing risk
- Seek assurance that current information and resources available to children, young people and adults on **Self-Harm** are used across the LSCB and SAB partnership
- Seek assurance that the **Emotional Health and Well-being** pathway is robust and fit for purpose
- Seek assurance that the **CAMHS (Child and Adolescent Mental Health Service)** review includes improved safeguarding outcomes
- Seek assurance from agencies that their workforce, across both Children and Adult services, have an appropriate understanding of the **Mental Capacity Act and Deprivation of Liberty Safeguards (MCA DoLS)**
- Seek assurance that the **Learning Disability Pathway** includes safeguarding outcomes.

We did…

- The initial plan made very slow progress due to the breadth of the scope of the priority and delay in identifying a lead to drive this forward. The plan was revised in early 2017 to gain assurance through a series of assurance questions from key agencies and partnerships leading work on these areas.
- The Board received a report on the developing Adult mental health pathways in March 2017.

The impact was…

- The Board gained assurance that the Leicester, Leicestershire & Rutland (LLR) Suicide Audit and Prevention Group oversee and analyse suicide data and consider safeguarding issues within the revised Suicide Strategy and Action Plan (2017-2020).
- Safeguarding and Child Protection will be explicitly included the revised Children and Young People Mental Health Transformation Plan
- The Board gained assurance that the adult mental health pathway was robust.

Further development required…

- Reports to the Board on Child Mental health pathways, MCA DoLS and Transforming Care regarding Learning Disability, were scheduled for the June 2017 LSCB and SAB meetings.
- The Board has recommended that safeguarding is explicitly considered within any revisions to the Sustainable Transformation Plan (STP) within Health.
- Audit of deaths by suicide being carried out for the Child Death Overview Panel (CDOP) to come to the LSCBs Safeguarding Effectiveness Group (SEG).
- Significant further work is required to gain assurance on these areas. These have been incorporated in the Joint Business Development Plan Priority for 2017/18 on Emotional Health and Well-Being.

LSCB / SAB Priority 3: To be assured that the Safeguarding element of the Prevent strategy (Preventing Violent Extremism) is effective and robust across Leicestershire and Rutland

We planned to…

- Receive regular reports on Prevent work and safeguarding, including training and awareness raising
- Support and promote Prevent awareness to the public and particular groups of professionals.

We did…

- The Board considered safeguarding assurance with regard to Prevent through a deliberative inquiry at its meeting in July 2016.
- Showcased the Alter Ego "Going to Extremes" theatre production during its development at a joint City and Counties LSCB learning event to promote this to frontline staff and gain their input into its development.
- Two Prevent awareness sessions were delivered to foster carers and prospective adopters in 2016.
- The Board supported a local funding bid to support the promotion of Prevent awareness sessions with young people and training of carers and parents of people with learning disabilities.

The impact was…

- Across Leicestershire and Rutland over 6,000 people have now been WRAP (Workshop to Raise Awareness of Prevent) trained.
- The "Going to Extremes" production started touring Leicestershire and Rutland in March 2017 with 41 performances booked in schools and public locations between March and May 2017. This production has been well received by schools and pupils and is being considered by other areas.
- The Leicestershire schools annual safeguarding survey in 2016 identified that compliance with the new Prevent duty in schools is high and almost all schools (91.2%) had or were in the process of completing a Prevent risk assessment.
- The number and quality of Channel referrals from the County have increased, particularly from schools.
- In Leicestershire's inspection Ofsted noted that "The 'Prevent' duty work and agenda are embedded and continuing to develop in Leicestershire. There is clear strategic governance, and creative operational work is being undertaken to raise awareness and identify and respond to risks. There is a good understanding of the nature of potential extremism in the area, and effective individual work with young people is described."

Further development required…

- Funding for the Counties' Prevent Officer comes to an end in October 2017. An exit strategy is being planned in preparation for this to continue the partnership work on Prevent through the Hate and Prevent Delivery Group.
- The work of Prevent linked to safeguarding will continue to be monitored by the Board as business as usual.

Operation of the Board

The Board was reviewed by Ofsted during 2017 and was judged Good. The report praised the leadership of the Board, its ethos of constructive challenge and focus on the needs of children. The report also identified strengths in the evaluation of training and effectiveness of the Child Death Overview Panel (CDOP). The report stated that the board's scrutiny and influence have had a positive impact on front-line practice, facilitating better understanding of the threshold into children's social care, more timely identification of the health needs of children looked after and the improving response when children are at risk of sexual exploitation.

The report also identified four areas for improvement;

- Strengthening participation of and engagement with children and young people in the work of the Board to enable children to influence the LSCB's priorities and their delivery more fully.
- Further strengthening our audit approach, including Section 11 audits to ensure that these audits are sufficiently probing and robust.
- Hold partners to account to ensure that the quality and effectiveness of return home interviews and risk management when children are going missing from home or care are evaluated.
- Improve awareness raising of private fostering across the partnership and wider community.

The Board has developed an improvement plan to address these, linked to its Business Development Plan for 2017/18.

Partner and Public Engagement and Participation

Partner Engagement and Attendance

Due to changes in meeting scheduling in 2017 the Board met five times during 2016/17 with an additional two extraordinary meetings to discuss final reports for Serious Case Reviews.

Leicestershire and Rutland County Councils, the District Council representatives, the Police, and East Leicestershire & Rutland Clinical Commissioning Group attended all ordinary Board meetings during the year. Schools were also represented at all ordinary Board meetings.

Attendance by other members at Board meetings remain good across most other partners, with some exceptions. The Community Rehabilitation Company only attended one ordinary meeting, as per the previous year. Attendance by CAFCASS and East Midlands Ambulance Service dropped significantly this year to one and two ordinary Board meetings respectively.

Attendance at sub-groups of the Board is good across agencies.

The membership of the Board can be seen in Appendix 1.

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Public Engagement & Participation

The Board reviewed its approach to Engagement and Participation at the start of the year tasking individual Business Plan priority leads with incorporating this in their work on the priorities, rather than through a separate group.

Practitioners were engaged in the work of the Board in several ways including feedback into development of resources through the large-scale learning events and the survey regarding the Neglect toolkit.

Working with colleagues at Leicestershire County Council the Board involved children in the recruitment of the new Independent Chair of the Board.

Agencies are listening to and responding to the voice of children to support safeguarding, for example through Police and Crime Commissioner's Youth Commission. The LSCB has received reports on the voice of children and families and how agencies are recording and responding to these through its Safeguarding Effectiveness Group.

However direct engagement with and participation of children and young people within the work of the Board on the business plan priorities has otherwise been challenging. Ofsted also identified this gap in their inspection of the Board.

Further work is required on this and the development of engagement and participation has been identified as a Priority for the LSCB shared with the SAB.

Assurance – Challenges and Quality Assurance

Challenge Log

The Board keeps a challenge log to monitor challenges raised by the Board and the outcomes of the challenges. During the year the following challenges were raised by the Board with safeguarding partners regarding the following topics:

- High rates of Repeat Child Protection Plans. The Board challenged partner agencies to take a multi-agency approach to effective and robust planning and intervention for children subject to child protection plans, child in need and early help plans.
- Child Sexual Exploitation partnership governance arrangements. The Board challenged partners to ensure the new arrangements for overseeing work on Child Sexual Exploitation across Leicester, Leicestershire and Rutland were clarified and functioning effectively to secure effective delivery and impact of our collective arrangements for CSE, Missing and Trafficking work.
- Multi-Agency Audits. The Board Chair challenged Board members to work together to implement an effective approach to multi-agency audits that supported a comprehensive assurance framework for the Board.
- Delays in notifications, leading to delays in carrying out Initial Health Assessments of Looked After Children. The Board challenged Leicestershire County Council Children's Social Care to address the delays in notification that had continued despite previous identification of this issue and assurances that it was being addressed.

- Contributions of agencies to the budget of the Board and potential budget reductions. The Board challenged partners to strategically consider their budget contributions to the Board.
- Gaps in quality and accuracy of data provided to the Board and its SEG subgroup. The Board challenged all partners to review and ensure accuracy of data provided to the Board.

Following these challenges:

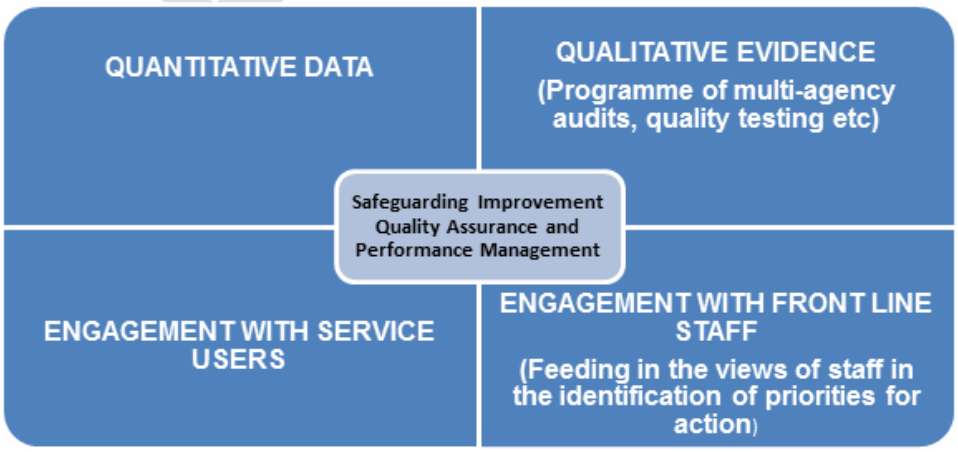
- Rates of Repeat Child Protection Plans in Leicestershire (& Rutland) have reduced in line with national and regional averages
- CSE work has continued to progress and a reporting structure into the Boards is in place for 2017/18
- A robust framework for multi-agency audits is in place and four multi-agency audits were carried out by the LSCB in 2016/17
- Some improvements have been seen in timescales for initial health assessments and ongoing updates are scheduled so the Board can be assured of improvements
- Further discussions are taking place regarding the future structures of the Board and the arrangements for setting agency contributions to the Board, and
- Partners have undertaken to ensure accurate data is provided, with no data issues identified in the quarter following the challenge.

Quality Assurance and Performance Management Framework

The Board operates a four quadrant Quality Assurance and Performance Management Framework as outlined below. This is overseen by the Boards Safeguarding Effectiveness Group (SEG) shared with the SAB. The outcomes of and findings from this performance framework are incorporated in the relevant sections within the report.

The detailed elements of this are reviewed each year to ensure this provides assurance regarding core safeguarding business as well as business plan priorities and other emerging issues.

The overall model is also reviewed and engagement elements of the framework, both with staff and service users require some further development in the coming year.



Audits

During 2016-17 the LSCB carried out a 'Section 11' audit that tests agencies compliance against their duties within Section 11 of the Children Act 2004 through an organisational assessment against safeguarding standards.

Audit returns from agencies identify that the vast majority of agencies consider that they are 'fully' or 'mostly' compliant against all nine standards. Public Health identified they are partly compliant with Standard 9 regarding partnership priorities as all LSCB priority areas were not yet embedded within service specifications, but work on this was underway.

The LSCB carries out a front-line practitioner audit bi-annually to check the findings of the 'Section 11' audit, however there is currently no direct challenge element to self-reporting of progress. The LSCB process for Section 11 compliance assurance will be revised in 2017/18 to reduce the burden on agencies and incorporate more peer review and challenge of compliance findings.

In 2016/17 the Board introduced a new approach to multi-agency auditing, with a plan of case file audits during the year. During the year four multi-agency audits were carried out focussing on the following priorities:

- Child Protection plans.
- Repeat and Multiple Child Protection Plans
- Child Sexual Exploitation
- Neglect

The audit process follows a Multi-Agency Case File Audit approach. All relevant agencies audit their practice and involvement in a set number of identified cases. Each case and the findings of each individual agency's audit of that case are reviewed in a multi-agency meeting to discuss practice and identify further single-agency and multi-agency learning.
The two audits on Child Protection plans covered twelve cases and were analysed together finding that:

- There was inconsistency in recording across the partnership in some cases.
- There was a gap in GPs being invited to or attending CP conferences.
- Substance Misuse and Domestic abuse remain key common issues. There is a need to ensure recognition that outcomes for parents impacts upon the outcomes for children.
- There are some gaps in understanding of and response to risk factors regarding domestic abuse, e.g. separation.
- Disguised compliance was an issue in some cases.
- The role of statutory services to support engagement in voluntary services (for example substance misuse support) is not clear.

The following actions were agreed following the findings of audits from the first two quarters:

- Agencies to ensure SMART planning, based on outcomes, with management oversight / consistent supervision around planning.

- The Clinical Commissioning Groups (CCGs) and local authorities to work on engagement with GPs – asking them how they want to be engaged, providing clarity around their role and communicating the partnership process.
- All partners to acknowledge there is multi-agency responsibility around Core Groups, challenge each other and be aware of the escalation process.

The Child Sexual Exploitation audit considered seven cases across Leicester, Leicestershire & Rutland and found:

- Gaps and inaccuracies identified in the information and intelligence concerning critical information.
- Lack of use of the CSE risk assessment tool, with a continued focus on single agency rather than holistic assessments.
- Information was not always shared, and agencies were not always contacted for information or engagement to support assessment. This was particularly notable with regard to transitions to adult services, cross-border looked after children placements and involvement of GPs and health agencies.
- Challenge of gaps in information and action should be improved.
- Practitioners need to hear the voice of the child more consistently.
- Gaps in informing Local Authorities about cross border/agency looked after Children (LAC) placements.

Individual agencies took forward individual actions and multi-agency actions have been incorporated into the CSE Operational Group plan.

The Neglect Audit of ten cases, across Leicester, Leicestershire & Rutland, found that:

- The neglect toolkit has not been embedded and therefore not used in practice as well as expected within agencies across LLR.
- There was evidence of drift in majority of the cases, potentially allowing neglect to become prolonged and in some cases started to become normalised behaviour.
- Voice of the Child was obtained in some, but not all of the cases audited.
- Multi-agency information sharing was inconsistent and administration around Child Protection Conferences and Core group needs improving to support attendance and effectiveness.
- Overall escalation of concerns was taking place, but timeliness and robustness of escalation could be improved.

Agencies have taken away these learning points to embed appropriate responses within their practice and further work is planned to increase awareness and use of the neglect toolkit.

A multi-agency audit plan has been set for the coming year linked to the Board's priorities.

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Learning and Improvement

Serious Case Reviews and other Learning Reviews

Serious Case Reviews (SCRs) are described within *Working Together to Safeguard Children 2015* and are statutory reviews undertaken by Local Safeguarding Children Boards (LSCBs) for cases where abuse or neglect is known or suspected and either:

- A child dies; or
- A child is seriously harmed and there are concerns as to the way in which the authority, their Board partners or other relevant persons have worked together to safeguard the child.

The LSCB has a well-used referral process into its Serious Case Review sub-group that considers whether cases meet SCR criteria or may otherwise be appropriate and beneficial to review to support learning and improvement across the partnership. Decisions regarding cases to review and appropriate types of review are supported by the Learning and Improvement Framework, shared with between the two LSCBs and two SABs across Leicester, Leicestershire & Rutland.

The Board completed and published two SCRs in line with Working Together 2015 guidance during the year:

- Child B - Published May 2016
- Baby C - Published October 2016

Two further SCRs were underway at the end of the year.

The LSCB took the opportunity to gain learning regarding multi-agency safeguarding practice from five cases that did not meet the criteria for a SCR. The LSCB utilised alternative review methods including Appreciative Enquiry learning events, Multi-Agency Panel review of the work undertaken by single agency, Case Management Review and Multi-Agency Case Audit.

Learning from reviews

The following arose in the learning and recommendations from all reviews:

- The importance of the use of threshold guidance in reviewing risk
- The category of harm for children on Child Protection Plans should reflect fundamental risk and not be changed without sufficient evidence.
- Recognising that pre-mobile babies are particularly vulnerable to harm and abuse (including premature babies)
- The importance of considering the impact of a parents care history and experience in assessment and support
- The voice of the child is an important factor in safeguarding and not always included in assessments
- Key people from different agencies were not present at some meetings such as Strategy meetings, Child Protection Conference and Core Groups
- Making sure that communication with parents with Learning Disabilities is accessible and processes are understood
- The importance of understanding a child or young person's underlying vulnerability to child sexual abuse and exploitation and recognition of early indications of CSE.

- Sharing information regarding domestic abuse where it is present does not always take place, but is important to enable effective responses
- The need to develop good quality supervision in order that staff are professionally challenged and supported to develop Professional Curiosity

The influence of this learning can be seen in the work of the Board in its priorities (e.g. Domestic Abuse), Training and Development and Development of Procedures this year and in priorities and areas for development for future years.

The SCR Sub-group also considered an alternative joint Children and Adults review involving a young person who had recently moved into adulthood but were satisfied with the findings of both Local Authority and Mental Health Service internal reports, and identified no further learning.

The SCR Sub-group monitors a master action plan containing recommendations and actions arising from all reviews.

Domestic Homicide Reviews

The LSCB and SAB manage the process for carrying out Domestic Homicide Reviews (DHRs) on behalf of and commissioned by the Community Safety Partnerships in Leicestershire and Rutland. This is managed through the joint Children and Adults section of the Boards' SCR Subgroup.

Two DHRs were completed during the year and the Community Safety Partnerships were awaiting feedback from the Home Office Quality Assurance Panel on these at the end of the year. Three further potential Domestic Homicide Reviews were considered, two did not meet the criteria, however an alternative review was carried out on one of these cases, and the third was in consideration at the end of the year.

Development Work and Disseminating Learning

The SCR Subgroup also reviewed the Boards' Learning and Improvement Framework and updated the referral form and the Domestic Homicide Review Procedures.

The LSCB produces a quarterly newsletter –Safeguarding Matters to disseminate key messages, including from reviews and audits across the partnership and to front-line practitioners.

Learning has also been shared through single agency internal processes, Learning Events and the Trainers Network.

<u>Child Death Overview Panel (CDOP)</u>

The detailed functions of the CDOP are set out in Chapter five of Working Together 2015. It is a key part of the LSCB's Learning and Improvement Framework since it reviews all child deaths in the Local Authority areas and identifies any modifiable factors, for example, in the family environment, parenting capacity or service provision and considers what action could be taken locally, regionally and nationally to address these.

The local CDOP covers Leicester, Leicestershire and Rutland and held nine panels reviewing 70 cases in 2016/17. Thirty-four of these cases related to Leicestershire and Rutland.

As a result of the panels held the following areas are being progressed;

- A database is currently under development that will allow a more comprehensive analysis of the learning identified for cases and therefore serve to inform the work plan of CDOP.
- A campaign was undertaken to raise awareness (amongst the public and professionals) regarding the dangers associated with the ingestion of disc button batteries.
- CDOP worked with partners to develop a strategy for reducing infant mortality.
- CDOP presented at a conference during 'Safer Sleep week' to raise awareness amongst professionals regarding associated risk factors for sudden infant death syndrome and outline learning identified within CDOP.
- CDOP have supported awareness raising (among health, education and public forums) to raise awareness with regard to;
    - Spotting the signs of sepsis
    - Headsmart (early recognition of brain tumours)

Public health supported CDOP to undertake a piece of work to review cases where suicide or self-harm was categorised as the cause of death to ascertain if there are any additional areas of learning for organisations and identify any underlying themes.

CDOP are also revisiting cases where consanguinity has been identified as a modifiable factor. Again, it is hoped that by undertaking further analysis additional learning may be identified that would help to inform future strategies.

During the year the Ofsted inspection for Leicestershire and Rutland noted;
"The child death overview panel is highly effective. Careful analysis of findings over the longer term has enabled the panel to identify patterns that might otherwise be missed. It uses this intelligence well to raise awareness of safety risks for children, inform improvements and influence wider health and wellbeing priorities. This is a particularly strong element of the LSCB's work."

In addition CDOP received a nomination (within Leicestershire Partnership Trust) for an Excellence in Partnership Award, which recognised the work of CDOP as being 'exemplary'.

The Child Death Review (CDR) Manager is engaging in national discussions regarding changes to CDOP following the Wood Review and Children and Social Work Act 2017.

These discussions have highlighted that, as a whole, CDOPs could strengthen processes to ensure families form part of the review process. LLR CDOP had previously recognised and raised this as part of the work plan for 2017/18.

An audit has been being undertaken by the CDR manager to provide an overview of the ongoing contact families receive from the named nurses following the

unexpected death of a child. This ongoing contact would allow families a greater opportunity to form part of the review process.

From April 2017 onwards processes will be established for families of children where the death was felt to be expected to be offered the opportunity to participate within the CDOP process.

Co-ordination of and Procedures for Safeguarding Children

The Board shares its Multi-agency procedures with the Leicester City LSCB.
Throughout the year the Board has reviewed and revised Multi-Agency Procedures in line with developments in practice and learning from reviews and audits.
The Board has developed procedures regarding bruising and injuries in babies and children who are not independently mobile.
The Board updated the thresholds document for referral to children's services and has also revised procedures relating to:

- Domestic Abuse
- Neglect
- E-safety
- Child Protection Conferences

Changes to procedures have been communicated through bulletins, the LSCB and SAB's Safeguarding Matters newsletter and through training events.

Training and Development

The LSCB, through its Safeguarding Effectiveness Group regularly requests information from its partners regarding the effectiveness of their safeguarding training programmes in line with the Leicestershire & Rutland Safeguarding Competency Framework.

During the year the LSCB has challenged the Local Authorities and Police regarding the lack of information they were able to provide to give assurance on training and competency. At the end of the year assurance was still outstanding from the Police and Leicestershire County Council.

The Competency Framework, prepared in accordance with 'Working Together 2015' sets out minimum competencies and standards across the children's workforce and supports practitioners, managers and organisations in the identification of which safeguarding competencies are required. It gives advice as to how practitioners can meet these requirements through learning, development and training.

The Board has continued implementation of this competency based approach through the delivery of a range of activities including briefing sessions, bespoke training, consultation and advice.

The Boards Training and Development Work is led by the Multi-Agency Training, Learning and Development Commissioning and Delivery Group, which is shared with Leicester City LSCB.

The group leads development and delivery of an annual training and development programme. This reflects the priority elements within the two LSCB's business plans and national priorities, as well as the learning from national and local Serious Case Reviews. The training programme is delivered through a 'mixed economy' of partner contributions, commissioned training and national training opportunities, as set out in a Partnership Agreement.

The LSCB facilitates a local trainers' network, which supports development of local safeguarding trainers through development sessions and networking.

During the year the following training and development activity took place:

- 64 themed training events took place within the LSCB Interagency programme across Leicester, Leicestershire and Rutland with 1698 attendees, a 32% increase compared with 2015/16 and back in line with increases in previous years.
- Six strategy briefing sessions regarding the safeguarding competency framework, offering 300 delegate spaces in total.
- Six 'Strengthening practice – supporting safer organisations' sessions for competency group 7& 8 offering 305 spaces in total.
- Trainers Network sessions offering up to 80 spaces in total.
- Fifteen LSCB funded Essential Awareness training sessions for the voluntary and independent sector – offering 375 spaces in total supporting consistency in knowledge and skills across the wider workforce across Leicester, Leicestershire and Rutland.
- The Neglect Toolkit events achieved high levels of attendance,

Evaluation of the effect of the interagency training programme is undertaken by Voluntary Action LeicesterShire (VAL), on behalf of the two LSCBs and is reported quarterly to the LSCB. This evaluation includes a six-month follow-up of attendees to support the assessment of the impact of training and development on practice.

Analysis of this feedback shows that participants commented very positively that they had been able to improve the practical quality of their practice as a result of training and development events. There is also a clear change in reported follow up action from the majority of attendees solely 'cascading' learning to 'cascading and taking personal and positive action' in their practice.

The Ofsted inspection of the LSCB included very positive comments about the training programme identifying the evaluation of this as 'sophisticated' and a 'significant strength.'

The effectiveness of the Competency Framework was increasingly acknowledged by participants, as was the positive effect on the programme of the recall days. Evaluation of the specialist competency sessions is undertaken, and the implementation plan is developed to reflect feedback and emerging need.

The newly commissioned strengthening practice course received excellent feedback, and supported mangers and those involved in governance functions across the workforce.

The use of large scale events to disseminate the learning from Serious Case Reviews was supported, along with the use of other programme events to give early prominence to and to reinforce specific messages, where relevant to that event. The group is continuing to develop different methodologies (in liaison with SCR groups) to support SCR learning.

The charging regime for 'no-shows' appears to have had a positive effect on attendance with fewer no shows by people who have booked places. Charging for attendance of agencies who do not otherwise contribute to the programme is being considered by the Boards.

The Board has put in place a well-populated and responsive programme for 2017/18, with continuity for priority areas, such as domestic abuse.

As part of its plan for 2017/18 the LSCB will continue to increase and focus assurance activity on the impact of the use and the effectiveness of learning within the competency based approach, particularly focussing on increased engagement with specific sectors – i.e. education.

The LSCB will take early steps to confirm with funding partners the position regarding resource to support the necessary training and development commitments and co-ordination of the interagency programme for the future. The Board will also further explore the 'virtual college' concept on a practical basis, to enhance training and development opportunities and consider other blended approaches to learning.

The Board will continue to reinforce the need for individual agencies to undertake meaningful and effective supervision and appraisal, to ensure that practitioners have the fullest opportunities to put their training and development to maximum effect.

The LSCB would like to express its appreciation to organisations that have contributed to the partnership training programme through trainer time or venues; in particular Leicester City Council which has made significant contributions of venues, and the contribution of local authorities' early years teams who have supported the delivery of the sessions and the engagement of the workforce. The estimated value of the in-kind contribution to the programme from all agencies is over £10,000.

Partner updates

Our partners provide assurance regarding safeguarding practice and development throughout the year. Key achievements and areas for development for partners are outlined in Appendix 2 to this report.

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Business Plan Priorities 2017-18

From analysis of current and emerging issues the following have been identified as our priorities for 2017-18:

Development Priority	Summary
1. CSE, Trafficking & Missing (Missing and online safety)	Developing assurance regarding missing children process and intervention and developing online safety responses.
2. Safeguarding Children with Disabilities	Assessing organisational responses and safeguarding risk understanding with regard to these children and their families.
3. Signs of Safety	Further embedding this approach across the partnership, particularly in schools.

In addition the following priorities are shared with the Leicestershire & Rutland Safeguarding Adults Board for 2017-18:

Development Priority	Summary
1. The 'Trilogy of Risk'	Assessing approaches to safeguarding adults and children where domestic abuse, substance misuse and mental health issues are present.
2. Participation and Engagement	Establishing visible effective participation by children and vulnerable adults at Board level.
3. Emotional Health & Wellbeing	Develop understanding of emotional health and well-being across the partnership and gain assurance regarding Better Care Together (BCT) and the Sustainable Transformation Plan (STP) that work is addressing safeguarding issues, particularly re: mental health
4. Multi-Agency risk management / Supervision	Develop a multi-agency supervision approach for risk management in safeguarding adults and children.

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Appendix 1 - Membership of the LSCB 2016/17

Independent Chair

Statutory Members:

Borough and District Councils (initially represented by Hinckley and Bosworth Borough Council, transferring to Charnwood Borough Council at the end of the year)
Children and Family Court Advisory and Support Service (CAFCASS)
Clinical Commissioning Group (CCG), East Leicestershire and Rutland
Clinical Commissioning Group (CCG), West Leicestershire
Derbyshire, Leicestershire, Nottinghamshire and Rutland Community Rehabilitation Company (DLNR CRC)
East Midlands Ambulance Service (EMAS)
Lay Member: Leicestershire
Lay Member: Rutland
Leicestershire County Council
Leicestershire County Council Lead Member for Children & Families
Leicestershire Partnership NHS Trust (LPT)
Leicestershire Police
National Probation Service (NPS)
Rutland County Council
Rutland County Council Lead Member for Children & Young People
Schools and Colleges (Head teacher representatives from both Leicestershire and Rutland)
University Hospitals of Leicester NHS Trust (UHL)

Other Members:

Leicestershire Fire and Rescue Service (LFRS)
Public Health
Voluntary Action LeicesterShire (VAL)
Armed Forces – Kendrew Barracks

Professional Advisers to the Board:

Boards Business Office Manager
Designated Doctor for Safeguarding Children
Designated Nurse Children and Adult Safeguarding – CCG hosted Safeguarding Team
Legal Services for the Safeguarding Boards
Heads of Children's Safeguarding, Leicestershire County Council
Heads of Children's Safeguarding, Rutland County Council

The local NHS England Area Team have informed local LSCBs that NHS England will only attend Boards where there are specific concerns that require NHS England oversight or action, for example where an improvement board is in place. At other times, NHS England will be represented by the Designated Professional from East Leicestershire and Rutland or West Leicestershire CCG utilising the clear communication routes back to NHS England.

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Appendix 2 - LSCB Partner updates in full

Cafcass (Children and Family Court Advice and Support Service)

Developments with regard to the agencies approach to safeguarding in the year:

Cafcass have faced a significant increase in demand locally and across the Country. The cause is likely to be multi-faceted, but may include better understanding of the damaging impact of domestic abuse and neglect, and squeezing of resources away from early support into child protection.

Recent research by Broadhurst and colleagues, which made use of Cafcass data, suggests that a huge amount of court time is taken up with mothers who have had children previously removed.

Cafcass continues to invest in staff learning and development to support ongoing quality and have developed a Network of diversity champions to support staff, for example *Communicating with Deaf Parents* work.

Cafcass are also developing our use of technology to promote efficiency.
In recognition of the significant issue of domestic abuse Cafcass has developed internal practice pathway regarding domestic abuse.

We have continued to work on our exploitation strategy, which incorporates sexual exploitation, radicalisation and trafficking. We have introduced a network of ambassadors and champions to collate knowledge and to disseminate this to practice staff.

A research project into 82 Cafcass cases involving trafficking identified that 87% were public law cases. 70% of the cases involved girls. In most cases children were trafficked for sexual purposes, but some for benefits, domestic slavery or transporting drugs.

Following the research project Cafcass have developed an assessment tool to help identify trafficked children, especially in private law cases.

Impact of developments and work carried out

Notwithstanding the pressures, quality is being maintained, borne out by the findings of audits of work, area quality reviews and thematic audits.

Areas for further development or action to support safeguarding

A Sector-Led Inquiry into rising care demand has been announced to explore options to tackle the rising number of public law applications, this includes Cafcass, ADCS, Nuffield, Family Rights Group and the Children's Commissioner.

Cafcass are contributing to private law reform including:

Supporting Separating Parents in Dispute Helpline

- Five pilots, signposting separated parents to ways to resolve disputes.

Parenting Plan Meetings and Discussions

- Supporting parents pre-court to agree a one-year plan.
- Two face-to-face pilots, one telephone.

Out of court pathway

- Working with the Ministry of Justice to increase pre-court information and assistance, where appropriate.

Cafcass are contributing to public law reform including:

Settlement conferences

- Involves a Judge and Guardian conducting an evaluation of the local authority's case, and talking directly to parties.
- Three pilots, now being extended.

Cafcass Plus

- Aimed at diverting cases or narrowing issues.
- Three pilots extending to five.

Viability assessments

- Guidance issued by Family Rights Group to set consistent expectations.

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East Leicestershire & Rutland Clinical Commissioning Group (ELRCCG) and West Leicestershire Clinical Commissioning Group (WLCCG)

Developments with regard to the agencies approach to safeguarding in the year:

Maintaining Statutory Responsibilities: During 2016/17 West Leicestershire CCG and East Leicestershire and Rutland CCG (hereafter known as the CCGs) continued to exercise their statutory responsibility towards safeguarding children and vulnerable Adults. The CCG Chief Nurses represented their CCG as a statutory member of the Leicestershire and Rutland Safeguarding Children Board and the Safeguarding Adult Board. The CCG Deputy Chief Nurses represent their CCG at the Leicestershire and Rutland Safeguarding Children and Adult Executive.

LSCB/SAB support from CCG Designated Professionals: The CCGs have maintained the expertise of Designated Nurses Safeguarding Children and a Designated Doctor Safeguarding Children. The CCGs commit the Designated Nurse role and the CCG Safeguarding Team to provide extensive support to the LSCB/SAB. During 2016/17 this has been in terms of: chairing the LSCB/SAB Safeguarding Effectiveness Group; membership of a number of LSCB/SAB Sub Groups including the Serious Case Review Sub Group; Chairing a LSCB Child Alternative Review; Panel member of the 2016/17 Child Serious Case Reviews, Adult Reviews and Domestic Homicide Reviews. Taking a leading role in the promotion of the Neglect Toolkit.

The Designated Nurse Safeguarding Children and Adults has contributed to the LSCB/SAB 2017 Safeguarding Matters publication promoting Safeguarding Supervision.

The work of the CCG Named GP's Safeguarding Children This role ensures that the GP safeguarding leads in all of the GP Practices (across Leicestershire, Rutland and Leicester City) receive consistency in safeguarding information and support in addition to mandatory safeguarding training. The CCG Named Safeguarding GP's delivers children's safeguarding training to GPs and leads the GP Safeguarding forums and GP Safeguarding Bulletins

The GP Safeguarding Forums 2016/17 have included the following topics.

- Meeting with Social Care Managers
- Complaints from GPs regarding the lack of continuity regarding access to Children's Social Care
- The quality of GP referrals to Children's Social Care

The GP Forums provide a venue for discussion for information the LSCB/SAB disseminate to GP Practices in addition to emailed information.

The CCG Heads of Safeguarding Children and Adults support the Designated Professionals to ensure effective interface with the Safeguarding Boards is maintained and delivery of the priorities for the CCG Hosted Safeguarding Team continue to be met.

GP Safeguarding Children Quality Markers Tool: Since 2014 GP Practices have received a safeguarding self- assessment tool. This has been developed into the 'GP Quality Safeguarding Children Markers'. In 2017 GP Practices are asked to return completed GP Quality Safeguarding Children Markers to the CCG Safeguarding Team to identify GP Practices where support may be required to enhance safeguarding processes.

GP Safeguarding Advice Line. Provided by the CCG Hosted Safeguarding Team this is available to all GPs across Leicester, Leicestershire and Rutland

Child Sexual Exploitation Hub: The CCG has contributed to commissioning two nurses to work to support inter-agency work within the hub.

Engagement with LSCB Audits. The CCG Safeguarding Team supported the LSCB Audit Programme with regards to the audit including GP records

CCG Safeguarding Assurance: throughout 2016/17 the CCG Quality and Assurance Group and Governing Body has received assurance the status of how commissioned health services have in place key safeguarding requirements for adults and children

Impact of developments and work carried out

Designated Nurse Chair of LSCB Safeguarding Effectiveness Group has maintained a focus on continuous improvement with regards to reporting from meaningful and accurate data to demonstrate the effectiveness of partnership working. This has enabled discussion and partnership challenge at the LSCB. Key results include raising the profile of: the Voice of the Child; strengthening multi-agency care planning for Children in Need; Establish the level of children and adult safeguarding training across the partnership; the lack of an agreed information sharing pathway for Domestic Violence; compliance with the Care Act 2014.

CCG Named Safeguarding Children GPs The impact of the work of the CCG Named Safeguarding GP's is evidenced by well attended and evaluated GP Forums and above 90% uptake of children and adult safeguarding training for all GPs across the CCG. To this end the role has raised the profile of safeguarding across the CCG.

GP Advice Line The introduction of the GP advice line providing support and guidance to GPs this has been well received and GPs acknowledge it helpfulness – evidenced by GPs contacting Social Care with safeguarding concerns.

The audit work with GP Practices has resulted in:

- Domestic Violence/ Abuse – GP Policy and Guidance being developed and training commissioned
- Pre-birth – Midwifery team refreshed content of letter to GPs to provide clarity following GP involvement with the Pre-Birth audit
- Work to improve the quality of referrals from GP's to first response in Leicestershire and Duty Team in Rutland
- GPs have easy access to GP Referral form via PRISM. This has provided evidence of both the good work currently being undertaken by GPs and areas

for improvement. To increase in knowledge and confidence will have enabled GPs to make better decisions regarding Safeguarding.

Child Sexual Exploitation Hub: Icons on GP Electronic Record Systems alert GPs to children at risk of CSE known to the CSE LLR Hub- GPs reminded of CSE material available on PRISM

Areas for further development or action to support safeguarding

- Supporting the GP practices as required following submission of the GP Quality Safeguarding Markers.
- Continued dissemination of learning from LSCB /SAB to GP Practices
- During 2017 to 2018 the Safeguarding Children Training strategy is to be refreshed with clear guidance for GPs and CCG staff.
- Further Quality audits on GP referral to Children's Social Care
- A Domestic Violence/Abuse Policy will be available for GP practices

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Leicestershire County Council

Developments with regard to the agencies approach to safeguarding in the year:

Leicestershire County Council have developed a 'Road to Excellence 2017 to 2020' continuous improvement plan across the Children and Family service that summarises how we will be improving the experiences and outcomes of children in need of help and protection, children looked after and care leavers. And incorporates developments in line with recommendations from Ofsted, following their inspection.

The plan is based around the four building blocks of:

- Being a Learning Organisation
- Embedding Excellent Practice
- Taking the Right Action at the Right Time, and
- Developing Policy and Performance

And is underpinned by four behaviours for all staff:

- Voice; Listening and responding to what children and families say
- Signs of Safety; doing with, rather than 'for' or 'to'
- Outcome focussed; striving to improve children and families lives
- Leadership; everyone is responsible and accountable

The development of the action plan has been overseen by a project board chaired by the Assistant Director for Children's Social Care that has reviewed all aspects of the service, including processes, staffing, caseloads and performance management.

To develop the contact and assessment approach additional social worker and management capacity has been put in place alongside administrative resource and further support for less experienced social workers. Developments to Frameworki have also been delivered to support any changes within First Response.

Contact and Assessment have also been the focus for the development of practice standards that have been recently published and First Response is piloting a revised quality assurance and learning model to ensure standards are embedded.

The Council has worked to ensure that rigorous management oversight is supported by improved performance management arrangements.

Impact of developments and work carried out

Following developments in First Response caseload numbers are appropriate, assessment timeliness is better monitored and repeat referrals are less likely.

Areas for further development or action to support safeguarding

The Road to Excellence plan will develop approaches to safeguarding across Leicestershire. The plan incorporates strengthening of performance management

and management oversight and routine internal audit in Leicestershire will monitor improvements across services, including First Response.

Leicestershire will also work to ensure that the Listening Support Service's return interviews for children going missing from home and care are timely and that the quality of these is consistent, monitoring demand to ensure resourcing of the service is sufficient.

DRAFT

Leicestershire Fire and Rescue Service

Developments with regard to the agencies approach to safeguarding in the year

Our service for juvenile fire setters is now running much more effectively following recruitment and training of new staff.

Nationally, fire services are moving towards the production of standard safeguarding best practice advice for this sector, which will be very welcome. The Safeguarding Manager recently attended a National Conference.

Impact of developments and work carried out

Our Firecare interventions are working much better as staff can now offer multiple visits, often visiting jointly with external agencies.

We know that our operational crews are much more aware of safeguarding responsibilities as our Designated Safeguarding Officer is receiving much more frequent enquiries and requests for advice.

Areas for further development or action to support safeguarding

New scenario based Safeguarding training package is being developed – we aim to launch it by September.

We are currently looking at the structure of our internal safeguarding /vulnerable people team to ensure that we have an adequate number of people who can respond appropriately to alerts from firefighters and referrals from external agencies.

Mental health first aid training for operational managers rolled out across the service.

The set-up of a new national fire service safeguarding group, which our Safeguarding manager will attend, should support us in improving our practice.

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Leicestershire Partnership NHS Trust (LPT)

Developments with regard to the agencies approach to safeguarding in the year

Feedback from a CQC review of health services for Children Looked After and Safeguarding in Leicester City was the catalyst for strengthening the implementation of the Whole family approach to safeguarding. LPT adopted a Whole Family Approach to Safeguarding in 2016/17, building on the Think Family work already underway in LPT. Implementation will include replacing the traditional level 2 adults safeguarding training and level 3 safeguarding children training with the combined 'Whole Family' safeguarding training. LPT have also implemented systems to improve communication across adult & children's services within LPT and promoted the 'Whole Family Approach' via posters and monthly bulletins and changes to electronic systems.

It was identified by the CQC that the quality of Inter-agency referral forms submitted by School Nurse, CAMHS practitioners and Adult Mental Health practitioners required improvement. LPT have developed and implemented an Inter-Agency Referral Standard Operating Guidance to improve the quality of inter-agency referrals submitted to Children's Social Care. Quality reviews of Inter-agency referral forms submitted to Children's Social Care by school nurses, CAMHS and adult mental health staff are conducted quarterly.

Strengthening CSE response across LLR was an LSCB priority: CSE nurses were co-located with other agencies in the CSE multi-agency hub.

Neglect toolkit developed and launched in July 2016 in response to recommendations from Serious Case Reviews (SCR). LPT have uploaded the Neglect risk assessment summary document onto the electronic child health record and the Neglect toolkit was included in Level 3 Safeguarding Children training. From April 2017 Neglect & use of the Neglect Toolkit will be promoted during Whole Family safeguarding training delivered to all LPT adult & children clinical staff.

Pre-mobile baby and Resolving Professional Disagreement (escalation) procedures and guidance in response to recommendations from Serious Case Reviews. LPT have contributed to the development of the LSCB pre-mobile baby procedures and have developed a pathway for health visitors to ensure the response to a mark/bruise observed in a pre-mobile baby receives the appropriate response. LPT have also developed a leaflet that is given to parents which explains why a referral to Children's Social Care is required.

LPT have contributed to the LR LSCB Repeat Child protection plan audit and the LLR LSCB Child Sexual Exploitation (CSE) & Neglect audit. All recommendation in action plans for Repeat Children Protection Plan and CSE have been completed by LPT. Neglect audit recommendations in progress as audit submitted 31st March 2017

Impact of developments and work carried out

Inter-agency referrals. The quality reviews will measure the level of improvement in relation to inter-agency referrals submitted to children's social care, helping to ensure the right service is provided at the right time.

Whole family. Adult staff are now able to access details of a child's health visitor or school nurse where necessary and appropriate via a single point of contact.

CSE nurses now provide CSE training to health staff within LPT to increase awareness of CSE signs and risk factors. LPT practitioners can contact the CSE nurses for advice.

Resolving Professional Disagreements. Assurance provided to the LSCB Safeguarding Effectiveness Group included cases where health visitors have used the Resolving Professional Disagreements to challenge Children's Social Care decision and response to a mark/bruise to a pre-mobile baby.

Areas for further development or action to support safeguarding

LPT pre-mobile baby audit planned for Quarter 2 2017-18 to provide assurance that pre-mobile procedures, health visitor pathway and leaflet are implemented in practice.

From April 2017 LPT will deliver Level 3 Whole Family safeguarding training to all LPT adult & children clinical staff.

Further work in embedding the Whole Family approach to Safeguarding and MCA improvement.

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Leicestershire Police

Developments with regard to the agencies approach to safeguarding in the year

Kayleigh's Love Story: Leicestershire Police, with the support of Kayleigh's family, made a short video to highlight the dangers of internet based communication and social media; it is highly impactive and has reached 50,000 young people through showings at school (1,079 school inputs over a 19 week period) and there have been 30 million hits on YouTube, reaching a global audience.

Police engagement with Young People Looked After Children: A local Looked After Children & Care Leavers Board has been set up in Leicestershire Police force area, involving key representatives from Police and partners, including DLNR Probation, NHS and the Local Authority, as well as other bodies such as the Young Adults Project and the Youth Commission. The fundamental aim of the Board is to reduce the number of children in care and care leavers in the Criminal Justice system.

School/Educational Packages: Neighbourhood Teams experience significant demand from schools and other youth groups to deliver educational awareness packages/presentations to children and young people. The Force Children & Young Person's Officer (Katie Hudson) is updating existing packages and creating new ones where gaps exist. Consultation with young people has been key to the packages being appropriate and engaging for the target audience.

Youth Court Project: A pilot court project is being worked upon in five Court areas, one being Leicester, supported by the Barrow Cadbury Trust. Young adults are a distinct group with needs that are different both from children under 18 and adults older than 25; when the criminal justice system adjusts its response it can be more effective. Currently in the planning phase, implementation target date is September/October 2017, followed by evaluation in late 2019.

Youth Commission: Youth Commission currently has 29 members of young people aged 14-25 years. It has engaged with 1800 young people in 2015/2016 through workshops and presentations at schools/colleges. There has also been a specific focus on "hard to engage with" groups by working with specialist education projects eg Twenty Twenty (specialising in education and work training for disengaged young people), Glen Parva Young offenders Institute and links made to work with YOS and the Y in Leicester. There is continuing engagement through social media – Facebook, Twitter and Instagram. Youth Commission has also been involved in large events such as PRIDE and the Caribbean Carnival; and has a representative sitting on the Stop Search Reassurance Group.

Social Media Communications – Twitter Accounts: Social media accounts have been established and will be updated and maintained to provide an update on the Youth Commission and its work, along with providing an additional channel for youth engagement. Web forums are also to be developed to give an additional consultation platform.

CEASE campaign: Continued during 2016/17, with over 18,000 CEASE Hands now signed to pledge support.

Additional resourcing within specialist Child Protection departments: Recognising increasing demand, Leicestershire Police have restructured departments and increased establishment within specialist child protection departments.

Vulnerability Hub: Leicestershire Police have recently created a multi-agency Vulnerability Hub by relocating the CSE team, the Missing from Home team and the Adult Referral Team to Wigston Police Station to work alongside the Child Abuse Investigation Unit, the Child Referral Desk and multi-agency partners. These include a health-based CSE administrator, a Drug & Alcohol Worker, Social Care representation from Leicester City and Leicestershire County and Leicestershire Fire & Rescue Service.

Cyber Hub: The Paedophile On Line Team (POLIT), High Tech Crime Unit (HTCU), Digital Media Investigation Team and Cyber Crime Team have also recently been co-located to create a Digital Hub, improving the capacity and capability to identify victims of abuse, safeguard those victims and prosecute offenders.

Impact of developments and work carried out

- Kayleigh's Love Story has been recognised with national awards, and the screening has led to 45 young people coming forward to make disclosures around grooming and sexual abuse.
- There has been positive feedback from the HMIC about the vulnerability culture Leicestershire Police operates within, including confirmation that there is a good understanding of vulnerability at all levels within the Force.
- HMIC have commented on the high quality of the service provided to high risk child victims within specialist child protection departments.
- Improved service for child victims of sexual assault, with excellent paediatric services being offered in via Serenity SARC in Northampton

Areas for further development or action to support safeguarding

- To identify smarter ways to meet demand in a world of ever decreasing resources both within our organisation and the demand impact from partners.
- To better identify hidden demand again looking at smarter ways to reduce / remove this demand.
- To better engage with private sector partners with a view of sharing reducing demand.
- Leicestershire Police recognises there is still room for improvement around the service provided to lower risk missing children and children associated with incidents of domestic abuse. All HMIC feedback from PEEL and CPI has been incorporated into the Force's Vulnerability Action Plan for 2017-18.
- The Force is also developing an overall Vulnerability Strategy and a Children's Strategy to ensure the voice of the child is incorporated into every strand of policing.

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- A review of the Force's MFH Process has just been completed, and new working practices are awaiting finalisation, following consultation at local level through to the National Police Chiefs Council.
- Police and Crime Plan 2017-21 includes a focus on specific areas where children are affected: Alcohol and drug related incidents; Children and Crime including Child Sexual Exploitation (CSE); Domestic violence and abuse including coercion; Human trafficking and modern day slavery; Mental health; Missing from home individuals; Prevent strategy and Sexual violence.
- Leicestershire Police will maintain the regime of internal audits and co-operation with reviews (both internal and external, eg SCRs, DHRs, SILPs etc) to ensure continued compliance with the need to recognise, identify and report vulnerability.

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Rutland County Council

Developments with regard to the agencies approach to safeguarding in the year

We over the last year secured the following permanent posts:

- Head of Service; Children Social Care
- Service Manager; Children Social Care
- Safeguarding and Quality Assurance Manager
- Team Managers; Long Term Team and Duty Team

Securing such posts has enabled us to develop our structure further and begin to embed good practice. Over the last 6 months we have significantly reduced agency staff, which enables us to develop the service further with permanent members of the team.

We have fully implemented and continue to embed Signs of Safety within day to day practice, it is fully embedded in our Early Help Teams and our Child Protection Process and we continue to develop this further in Children's Social Care.

We have introduced and further built on ARC (At Risk Children)/CLA (Children Looked After) Panel, which is chaired by the Head of Children's Social Care and reviews all children subject to CPP's over 12 months, ensure oversight all children looked after as well as agreeing and ratifying decisions made around children becoming looked after. We have also secured attendance at this panel from education and health partners, which is positive.

We have regular workshops which over the last couple of months have focused on Permanency and looked after processes. We will continue to develop these to develop further and embed good social work practice.

Sign of Safety training is offered to partner agencies working with children, young people and families.

We ensure monthly audits are undertaken which offer an oversight of areas needing improvement as well as areas which are working well – we have seen significantly improved practice post Ofsted and audits evidence this further since January.

We had our Ofsted inspection in November 16 (report published in February 17), Ofsted considered that we required improvement to be good, but did not consider we had any children which were left at risk of harm.

We have a Next Steps Action plan, which has taken the 17 recommendations from Ofsted report and outlined action to ensure these are addressed.

We have worked with partner agencies regarding referrals to ensure quality and detail which is aiding an appropriate and timely response to concerns raised, also opening lines of communication further to enable positive information sharing.

We are embedding use of the neglect toolkit to improve outcomes where neglect is a concern for children.

Improved joint working between Social Care and Early Help to ensure joint working where appropriate to reduce risks to children, alongside review of SEND/Inclusion to share information to identify hidden risk or welfare concerns.

We are working hard to develop our fostering service further to ensure that if a child needs to be Looked After their needs are better met within the local community.

Impact of developments and work carried out

Having recruited more permanent staff and reduced the number of agency staff has had a positive impact on children and families as it enables there to be consistent people in posts and supporting the development of the service.

We have seen excellent performance being developed, assessments, ICPC, RCPC, all remain at 100% being completed in timescale. Audits evidence improvement in quality in assessments and assessment of risk is clear and concise.

We have collated family feedback, and whilst we continue to develop this we have seen good family feedback gathered which has further supported the development of the service.

Foster carers have fed back that they are seeing positive changes and communication and support strengthening.

Families have fed back that they feel supported and feel we have made a difference to their lives.

Areas for further development or action to support safeguarding

We are in the process of restructuring children social care to further strengthen the team and the practice we deliver.

We continue to develop practice in all areas to improve outcomes for the children we work with.

We want to further develop and embed Signs of Safety across the service which will continue further to safeguarding children.

We have just begin SCR learning reviews, these will be held bi-monthly and intend to review any new themes from SCR nationally, the group is a debate and reflective arena to consider how we bring learning back in to our own service.

The ‘Next Steps Ofsted Action Plan’ is our focus for the next 6 months to ensure we address all recommendations outlined which will further improve practice.

We have started to collate feedback and want to develop this further, ensuring we gain feedback from all families and children throughout their journey, we have started with all case closes and those cases randomly selected for audit.

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University Hospitals of Leicester NHS Trust (UHL)

Developments with regard to the agencies approach to safeguarding in the year

University Hospitals of Leicester NHS Trust is a large organisation that employs around 15,000 staff. Safeguarding patients and protecting them from harm and abuse is integral to the work that we do.

The Trust has supported the work of the Leicestershire and Rutland LSCB, in particular:

- We have been involved in the new multiagency audits developed by the board, overall these have provided additional assurance that our practices are generally robust
- We have supplied quarterly performance data to help build up a greater understanding of safeguarding performance and we introduced a patient partner

In 2016 the Trust had two comprehensive inspections by the Care Quality Commission, which considered the Trusts approach to safeguarding. Their findings led to the development of an action plan and as a consequence the following changes to practice were made:

- We reviewed our approach to safeguarding children's training
- Introduced new guidance and training for staff on the use of the mental capacity act
- Increased the capacity of our maternity safeguarding team in response to increasing levels of referrals

As a Trust to strengthen the voice of service users in November 2016 we secured a patient partner to sit on our internal safeguarding assurance group. This helps ensure that a service user perspective is considered in any safeguarding work undertaken within the Trust

In partner with the local CSE hub in August the trust began to put alerts onto our emergency department system of any children at risk of CSE

We also secured funding for a hospital based Domestic Violence advocate to work in our Emergency Department.

Impact of developments and work carried out

In response to the issues raised above we believe we have changed practice in the following areas:

- We have been able to improve the quality and input we can provide to midwifery safeguarding cases. Ensuring quicker response times and improved representation at partnership meetings
- Audits are beginning to demonstrate greater understanding by staff of the use of mental capacity assessments and their application when consenting patients for treatment.

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- The voice of the patient is being to be firmly embedded in the work the trust does, making sure we consider the impact of our work on patient care.

In response to recommendations made by the CQC our completion of actions has strengthened our internal safeguarding systems to ensure that best practice is followed.

The role of the IDVA is to provide early support and advice to victims of domestic violence whilst they are considered in a place of safety, helping them to make decisions about personal safety.

Areas for further development or action to support safeguarding

As a Trust we strive constantly to improve our practice, for the new financial year we are going to undertake further work in the following areas:

- We are going to review our approach to information sharing and liaison work for children's and families requiring early help.
- Complete further work to introduce the national child information sharing project.
- Complete further internal audits to ensure that practice in consent to treatment and detecting safeguarding issues in our emergency department are embedded.

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Appendix B

LEICESTERSHIRE AND RUTLAND SAFEGUARDING ADULTS BOARD (LRSAB)

Annual Report 2016/17

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Document Status

First draft completed:	24/08/2017
Approved by Executive:	
Approved by Board:	
Published:	
Report Author:	Safeguarding Boards Business Office, Leicestershire & Rutland LSCB and SAB
Independent Chair:	Simon Westwood

Foreword

As the new Independent Chair of the Leicestershire and Rutland Safeguarding Boards from April 2017, I am pleased to present the Annual Report for the Leicestershire and Rutland Safeguarding Adult Board (LRSAB) 2016/17. I would like to record thanks to Paul Burnett, the previous Chair for his leadership of the Board during the period this report relates to.

On behalf on the Board I want to thank all those; particularly parents and carers, front line staff and volunteers who day in and day out support vulnerable children, families and adults to improve their lives. The board will continue to play their part in building a culture where vulnerable adults, children, young people, carers and families are listened to and their views influence practice.

The report is published at the same time as the Annual Report for the Safeguarding Children Board. The reports include commentary on areas of cross-cutting work we have undertaken through our joint business plan.

The key purpose of the report is to assess the impact of the work we have undertaken in 2016/17 on safeguarding outcomes for children, young people and vulnerable adults in Leicestershire and Rutland.

There is clear evidence of sustained strong partnership working across the safeguarding communities of Leicestershire and Rutland. In the recent Ofsted review of the LRLSCB the report stated “The board has developed an ethos of constructive challenge and support. It has taken a thoughtful and flexible approach, sensibly working closely with the Safeguarding Adults Board and Leicester City LSCB in areas of common concern.”

Though the report is joint it provides distinct findings about practice and performance in both Leicestershire and Rutland.

The safeguarding boards exist to provide support and critical enquiry to ensure that organisations work together to reduce or prevent possible abuse and neglect.

The Leicestershire vision and strategy for adult social care 2016 – 2020 is to promote, maintain and enhance people’s independence so that they are healthier, stronger, more resilient and less reliant on formal social care services.

In Rutland, a peer review in March 2017 found there is a good awareness of the principles of Making Safeguarding Personal and the overriding ethos that “safeguarding is everyone’s business” being a clear message to and owned by the workforce.

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During a continuing period of change the Board will continue to focus attention on keeping adults' safe through promoting the expectations on partners of; helping people and supporting communities to stay well and independent; enabling maximum choice and control and ensuring people have a positive experience of care and support.

We can never eliminate risk entirely. We need to be as confident as we can be that every child and vulnerable adult, are supported to live in safety, free from abuse and neglect. The Board is assured that, whilst there are areas for improvement, agencies are working well together to safeguard adults and children in Leicestershire and Rutland.

I hope that this Annual Report will help to keep you informed and assured that agencies in Leicestershire and Rutland are committed to continuous improvement, being open about what needs to improve and transparently identifying the challenges in achieving this, not least the continuing pressure to do more with less resources.

Finally, if you have safeguarding concerns about any vulnerable adult or child please act on them; you might be the only one who notices.

Simon Westwood

Independent Chair

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Summary

The Board is assured that, whilst there are areas for improvement, agencies and workers are working well together to safeguard adults in Leicestershire and Rutland.

In reaching this conclusion, we have:

Challenged those who work directly with adults with care and support needs to listen to what they are saying, respond to them appropriately and Make Safeguarding Personal, including through a workshop with care providers to improve working with local authorities. Information on this can be found throughout this report;

Monitored data and information on a regular basis**.** The *Safeguarding Adults in Leicestershire* and *Safeguarding Adults in Rutland* sections of this report tell you what we have learnt from this including, in both areas:

- Increases in safeguarding 'cause for concern' alerts
- A shift towards a lower proportion of safeguarding enquiries regarding residential settings and more in community settings
- An emergence of financial abuse and domestic abuse in safeguarding enquiries
- An increase in the proportion of people being asked about their outcomes and whose desired outcomes are met in safeguarding enquiries throughout the year
- An increase in the proportion of social care services users that feel safe and that say services make them feel safe.

Reviewed how we are doing as a Partnership, including an assessment on progress against our Business Development Plan for 2016/17;

Conducted a series of formal audits of our safeguarding arrangements, including:

- A Safeguarding Adults Audit Framework (SAAF) process;
- Case reviews of frontline practice which have included considering safeguarding thresholds and Making Safeguarding Personal.

Our formal audit activity is covered in the *Challenge and Assurance* section of this report;

Carried out Safeguarding Adult Reviews (SAR), other reviews of cases and disseminated learning from these across the partnership**.** This is summarised in the *Learning and Improvement* section of this report;

Supported the development of a Vulnerable Adults Risk Management (VARM) tool to support consistent responses to vulnerable adults who do not meet thresholds for access to safeguarding services, particularly in relation to self-neglect;

Invited our partners to contribute accounts of the work they have carried out over the year to safeguard adults with care and support needs;

The nature of the Board is holding partners to account and promoting learning and improvement therefore the Board is always considering how it can further improve safeguarding practice. The key areas for further development include:

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- Developing a clear effective approach to prevention
- Ensuring thresholds are understood and agencies are compliant with the Care Act with respect to safeguarding enquiries
- Further embedding of Making Safeguarding Personal principles and the VARM
- Strengthening the participation of and engagement with adults with care and support needs and frontline practitioners in the work of the Board.

Key Messages

- Workers and agencies work well together to safeguard adults in Leicestershire and Rutland.
- 'Making Safeguarding Personal' (MSP) is influencing practice across agencies and more people in Leicestershire and Rutland have more say in the enquiries about their safeguarding.
- Financial Abuse and Domestic Abuse are emerging areas of abuse of adults in Leicestershire and Rutland.
- Oversight of enquiries carried out in Health settings requires more work to gain assurance.
- The Board will continue to challenge and drive improvement in safeguarding of adults, including developing its own approach to engagement and participation of adults with care and support needs.

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Board Background

The Leicestershire & Rutland Safeguarding Adults Board (LRSAB) serves the counties of **Leicestershire** and **Rutland**. It became a statutory body on 1st April 2015 as result of the Care Act 2014.

Characteristics of Leicestershire & Rutland

Leicestershire is a two-tier authority area with a population of 667,905. Whilst we are not aware of the total number of adults with care and support needs there are 105,423 individuals who report their day-to-day activities are limited and 130,084 adults aged 65 and over living in Leicestershire[1].

Rutland is a unitary authority area with a population of 38,022. There are 5,788 individuals who report their day-to-day activities are limited and 8,830 adults aged 65 and over living in in Rutland[2].

In Leicestershire, 11.1% of the population identify as from Black / Minority / Ethnic Groups (BME). Of those that do not identify as 'White British', the largest groups identify as 'Asian or Asian British' (6.3%) or 'White other' (1.9%).

In Rutland, the percentage of the population who are BME is 5.7%. The largest ethnic monitory group identified in Rutland is 'White other' at 2.1%.

The Joint Strategic Needs Assessment for Leicestershire identifies that by 2037 the total population is predicted to grow by 15%. However, the population aged over 85 is predicted to grow by 190%, from 15,900 to 45,600 people, and the population aged 65 to 84 is predicted to grow by 56%, from 106,000 to 164,900 people.

It is estimated that there are around 9,700 people aged 18-64 with learning disabilities in Leicestershire and 500 in Rutland[3]. These numbers are predicted to stay fairly stable in Leicestershire over the next 15 years to 2030, but to drop by around 7% in Rutland over that period.

Safeguarding Adults Board Arrangements

The Care Act requires that the SAB must lead adult safeguarding arrangements across its locality and oversee and coordinate the effectiveness of the safeguarding work of its member and partner agencies. It requires the SAB to develop and actively promote a culture with its members, partners and the local community that recognises the values and principles contained in 'Making Safeguarding Personal'. It should also concern itself with a range of issues which can contribute to the well-being of its community and the prevention of abuse and neglect, such as:

- The safety of people who use services in local health settings, including mental health
- The safety of adults with care and support needs living in social housing
- Effective interventions with adults who self-neglect, for whatever reason
- The quality of local care and support services

[1] ONS mid-year population estimates 2014
[2] ONS mid-year population estimates 2014
[3] Figures from www.pansi.org.uk

- The effectiveness of prisons in safeguarding offenders
- Making connections between adult safeguarding and domestic abuse.

The LRSAB Business Plan sets out the key strategic objectives of the Board and how these will be met. The Annual Report presented here sets out how effective the Board has been in delivering its objectives. The report also includes an outline of the Safeguarding Adult Reviews (SARs) and other reviews carried out by the LRSAB, the learning gained from these reviews and the actions put in place to secure improvement.

The LRSAB normally meets four times a year alongside its partner Board: the Leicestershire and Rutland Local Safeguarding Children Board. Each of the four meetings comprises an Adults Board meeting, a Children Board meeting and a Joint meeting of the two Boards. The Board is supported by an integrated Safeguarding Adults and Children Executive Group and a range of subgroups and task and finish groups formed to deliver the key functions and Business Plan priorities.

The LRSAB works closely with Leicester Safeguarding Adults Board (LCSAB) on many areas of work to ensure effective working across the two areas. The LRSAB and the LCSAB have established a joint executive that oversees joint areas of business for the two Boards.

The SAB is funded through contributions from its partner agencies. In addition to financial contributions, in-kind contributions from partner agencies are essential in allowing the Board to operate effectively. In-kind contributions include partner agencies chairing and participating in the work of the Board and its sub-groups and Leicestershire County Council hosting the Safeguarding Boards Business Office.

Independent Chair

The LRSAB and the LRLSCB are led by a single Independent Chair. The independence of the Chair of the SAB is a requirement of the Care Act 2014.

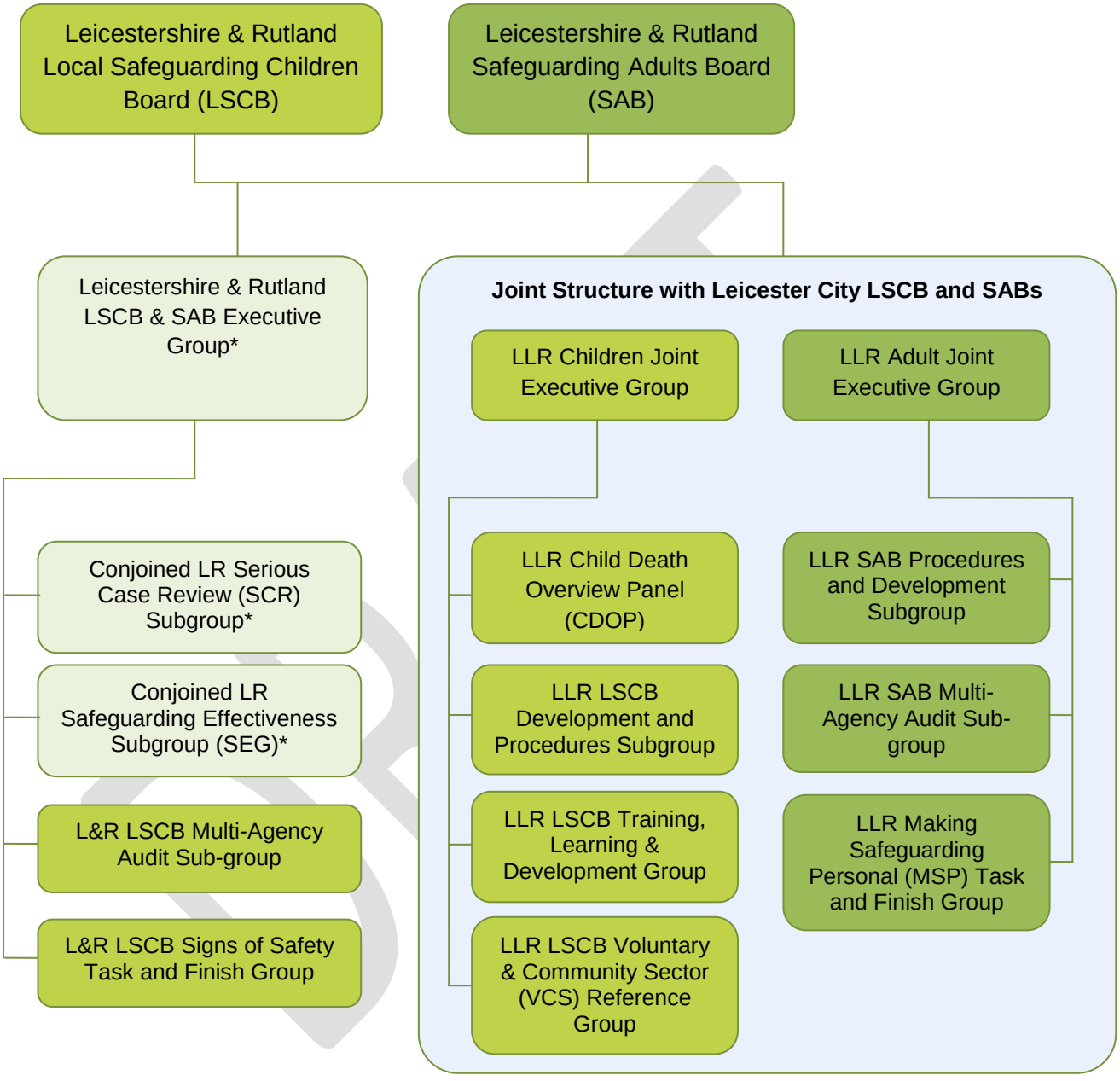
The Board's former Independent Chair, Mr Paul Burnett, stepped down at the end of March 2017 after almost six ears in the role. Leicestershire and Rutland have agreed to continue to have a joint Chair for both Safeguarding Boards to reflect the need for cross-cutting approaches to safeguarding. Mr Simon Westwood has been appointed as Independent Chair of both Boards commencing in April 2017, initially for one year while the implications of the Children and Social Work Act 2017 and the future of partnership arrangements for Safeguarding Children and Adults in Leicestershire and Rutland are considered.

The Independent Chair provides independent scrutiny and challenge of agencies, and better enables each organisation to be held to account for its safeguarding performance.

The Independent Chair is accountable to the Chief Executives of Leicestershire and Rutland County Councils. They, together with the Directors of Children and Adult Services and the Lead Members for Children and Adult Services, formally performance manage the Independent Chair.

Structure of the Board

The Board has established subgroups and task and finish groups to function effectively and achieve its objectives. The structure of the LRSAB and LRLSCB at the end of 2016/17 can be seen below. Membership of the Board can be found at Appendix 1.



SAB Business Plan Priorities 2016/17

Priorities set by the LRSAB for development and assurance in 2016/17 were to:

- Build community safeguarding resilience and be assured that people living in the community who may be experiencing harm or abuse are aware and know how to seek help
- Be assured that thresholds for Safeguarding Adult alerts are appropriate, understood and consistently applied across the partnership
- Champion and support the extension of Making Safeguarding Personal (MSP) across the Partnership and secure assurance of the effectiveness of multi-agency processes/working and evidence of positive impact for service users
- Assure robust safeguarding in care settings – including health and social care at home, residential and nursing care settings.

In addition, the LRSAB shared the following priorities for development and assurance with the LRLSCB:

- To be assured that there are robust and effective arrangements to tackle domestic abuse
- To be assured that Mental Health Services incorporate robust arrangements to reduce safeguarding risk to children and adults including those supported through the Mental Capacity Act, Deprivation of Liberty Standards (MCA, DoLS) and the Learning Disability Pathway
- To be assured that the Safeguarding element of the Prevent strategy (Preventing Violent Extremism) is effective and robust across Leicestershire and Rutland.

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Safeguarding Adults in Leicestershire

From its scrutiny, assurance and learning work the Leicestershire and Rutland SAB assesses that organisations are working well together in Leicestershire to safeguard adults with care and support needs.

This section provides a detailed overview of the performance information and activity in Leicestershire regarding Safeguarding Adults.

Prevention activity

Prevention activity in Leicestershire has focused on work with Trading Standards and Providers of Care and Support.

Work with Trading Standards

A piece of scoping work in Leicestershire identified that around 40% of the people Trading Standards are alerted to by the national Scam Hub are known to Adult Social Care. A joined-up prevention approach is being developed with Trading Standards to address this including locating a member of the Trading Standards Team within the Customer Service Centre for one day a week on a trial basis to respond to referrals which are received around fraud or scams where safeguarding thresholds are not met. Planned prevention work also includes an awareness session for Service Managers to support their teams to recognise potential scams and to be aware of which groups may be particularly vulnerable to being targeted by scams.

An internal audit by Leicestershire County Council found that appropriate safeguarding enquiries have been undertaken where required.

Work with independent provider services

Leicestershire County Council has facilitated several events working with providers, including workshop sessions using case studies to support understanding around Making Safeguarding Personal (MSP) at the Leicestershire county Council Residential and Domiciliary Care provider forums and presenting to the recent East Midlands Care Association (EMCARE) conference.

The LRSAB ran a workshop with providers of residential and domiciliary care in early 2017. The workshop incorporated providers' role in applying safeguarding thresholds to determine whether a safeguarding referral is required or whether an alternative response may be more appropriate and also in relation to the emphasis within the Care Act guidance on service providers undertaking more safeguarding enquiries.

The workshop received positive feedback and several providers have requested follow up sessions, which the Local Authority are looking to facilitate. In addition Leicestershire County Council is carrying out ongoing work to audit incident forms from provider services to better understand where the Local Authority can best focus support to providers to ensure they report appropriate incidents. This will allow a focus on incidents where Local Authority input is required to reduce risk, supporting effective use of resources.

Safeguarding data indicates that the Local Authority has effectively worked with Residential Care Providers to reduce risk in recent years as the percentage of safeguarding enquiries undertaken in care homes in Leicestershire has dropped from 61.6% in 2015/16 to 38.9% in 2016/17, with a reduction of 134 (23.5%) enquiries from those settings. This work continues and there is also a focus on work with domiciliary and supported living provider services.

Leicestershire Fire and Rescue Service commenced a pilot seconding a member of staff to work with the police Adult Referral Team to improve information sharing and joint working.

Contacts and Assessment

There has been a 30% increase in safeguarding and concern for welfare alerts made to Leicestershire County Council from 2015/16 to 2016/17, with 4,406 alerts received in 2016/17. A similar proportion of alerts proceeded to enquiries as the previous year (29% compared to 28%).

The number of alerts from the public has increased by 1% (ten alerts) compared to the previous year however a higher proportion of these alerts are proceeding to enquiries – 233 compared to 132 (16.9% to 29.5%).

In 2016 a provider withdrew from the new Help to Live at Home (HTLAH) service in Leicestershire shortly prior to its launch. This may have been the cause of part of the increase in alerts. The Board was assured that, though some delays in visits had taken place, the County Councils contingency plan had been effective in minimising the disruption as much as possible and ensuring the safety of adults receiving services. The Board also noted the hard work of Leicestershire County Council staff to achieve this.

The Local Authority have undertaken several internal safeguarding audits. Based upon the outcomes from these audits and the increasing referral numbers, it has been identified that that a key area of focus should be in continuing to develop consistent and robust approaches to applying safeguarding thresholds and addressing initial areas of risk relating to safeguarding adult referrals. In response to this within the restructure of the Adult Social Care pathway, the focus of the LA Safeguarding Adults Team has been revised as outlined in the partner update section.

Safeguarding Enquiries

The number of alerts that proceeded to a safeguarding adult enquiry in Leicestershire increased by 15% to 1,012, and the number of enquiries that found that abuse probably took place (enquiries that were fully or partially substantiated) fell by 4% to 553.

The number of enquiries ceased at the individuals' request increased each quarter, in line with the roll out of MSP and people having more say in enquiries, with 11% of all enquiries ceased at the individuals request during the year.

There has been a significant increase in the proportion of enquiries within community settings rather than residential settings from 40% to 66% within community settings in 2016/17.

The three main types of abuse across all enquiries in Leicestershire were Physical Abuse, Emotional Abuse and Neglect & Omission, with notable decreases in Neglect & Omission and notable increases in Financial Abuse, Domestic Abuse and Self-Neglect.

There has been ongoing work between Leicestershire County Council, UHL and LPT Safeguarding Teams since June 2015 when the Local Authorities became responsible for oversight of safeguarding enquiries where alleged abuse or neglect has occurred in in-patient settings.

Since the commencement of this responsibility there have been some issues in relation to low referral numbers, and measures have been put into place to try and address this. This has included clear oversight guidance being put in place, led by Leicestershire County Council, regular joint threshold application meetings and independent investigation by the Local Authority in some enquiries.

The Council, working with Leicester City Council, has also facilitated training for LPT Unit Managers and Patient Safety Teams around safeguarding thresholds which has been well received and further sessions are planned. There has been some increase in referral numbers this year; however, numbers remain lower than expected so this work will continue and the issue has been escalated to the Safeguarding Adults Board for ongoing monitoring.

Implementation of Making Safeguarding Personal (MSP)

The Leicestershire County Council MSP action plan, developed in June 2016, was almost complete by the end of the year. To support staff to embed the principles of MSP in safeguarding practice there have been over twenty training sessions delivered within the Council to staff and managers. Changes to the council's case management system also support staff to evidence this in case recording.

The changes support the Local Authority and SAB to more easily audit whether outcomes of people involved in safeguarding enquiries are being achieved and whether individuals felt involved and informed within the enquiry. Multi-agency actions have been taken forward through the Leicester, Leicestershire & Rutland (LLR) SAB MSP Task and Finish Group. More information on this can be found in the Business Plan Priority section on Making Safeguarding Personal.

The SAB has been able to review data regarding views of people involved in enquiries for the first time this year. Through the year an increasing proportion of people were asked about the outcomes they wanted from the enquiry, from 58% in the first quarter of the year to 71% in the last quarter and there was an 18% increase in the numbers of cases where outcomes were recorded.

The desired outcomes were achieved (fully or partly) in 95% of enquiries throughout the year.

The SAB multi-agency audit regarding MSP found there was good progress in Leicestershire with regard to embedding these principles in practice. The findings of this are outlined in more detail in the Challenge & Assurance section of this report.

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Safeguarding Adults in Rutland

From its scrutiny, assurance and learning work the Leicestershire and Rutland SAB assesses that organisations are working well together in Leicestershire to safeguard adults with care and support needs.

This section provides a detailed overview of the performance information and activity in Rutland regarding Safeguarding Adults.

Prevention activity

The Council report that prevention is embedded within the Adult Social Care and Safeguarding approach in Rutland.

A peer review of Rutland Adult Social Care in March 2017 particularly noted the "focus on non-eligible citizens and developing approach to working with those people who have been institutionalised historically", within an overall "excellent offer to the people of Rutland" where "outcomes are good."

Rutland County Council has embedded a new Adult Social Care role, Assistant Care Manager (ACM), within the Prevention and Safeguarding Team who can provide time limited and person centre outcomes for those adults who are deemed at risk of being re-referred as a Safeguarding Adult's enquiry. This service is non-means-tested to encourage those at risk of self-neglect to engage with support.

This approach has contributed to a reduction in referrals to the long-term team with less than 10% of all new contacts transferred for long term intervention.

Leicestershire Fire and Rescue Service commenced a pilot seconding a member of staff to work with the police Adult Referral Team to improve information sharing and joint working.

Contacts and Assessment

Rutland has seen a slight reduction in safeguarding cause for concern alerts compared to the previous year (29), but a significant (171%) increase in alerts from the public (24 to65) and a similar proportion of public alerts become enquiries as the previous year (13% compared with 16%).

All cause for concern alerts in Rutland are screened and triaged through the single point of contact. If threshold for a formal investigation is met then they are allocated within 24 hours to workers across the three teams in Adult Social Care.

The Local Authority's Prevention and Safeguarding Team operate a duty function provided by Adult Social Care practitioners. This allows for immediate engagement with the adult at risk. All assessments and safeguarding documentation require management oversight prior to sign off so all work is scrutinised to promote best practice.

The Multi-Agency Audits carried out during the year evidenced positive practice in Rutland in relation to application of safeguarding thresholds recorded on the contacts

and evidenced Making Safeguarding Personal (MSP) and Adult at risk outcomes being recorded throughout contact and assessment.

Safeguarding Enquiries

The number of safeguarding enquiries carried out in Rutland has increased by 71% to 77 in 2016/17. Just over a third (34%) of all enquiries found that abuse probably took place (enquiries that were fully or partially substantiated), this compares with just under half (44%) of the 45 enquiries in 2015/16.

The number of enquiries ceased at the individuals' request increased each quarter, in line with the roll out of MSP and people having more say in enquiries, with 12% of all enquiries ceased at the individuals request during the year.

There has been a continued increase in the proportion of enquiries within community settings rather than residential settings from 53% in 2015/16 to 72% within community settings in 2016/17.

The two main types of abuse in enquiries were Financial Abuse and Neglect & Omission. Domestic abuse is becoming more common.

The County Council have made significant changes to their case management system during the year to enable better capture and recording of the views and wishes of those involved in safeguarding enquiries in line with the principles of the Mental Capacity Act and to ensure that risk is appropriately assessed and managed within the enquiry.

The council's learning approach with safeguarding Continuous Professional Development (CPD) sessions for all Adult Social Care practitioners and integrated Health colleagues supports good safeguarding enquiry processes.

Implementation of Making Safeguarding Personal (MSP)

The SAB has been able to review data regarding views of people involved in enquiries for the first time this year. Through the year, an increasing proportion of people were asked about the outcomes they wanted from the enquiry, from 50% in Q1 to 100% in Q4 and there was an increase in the numbers of cases where outcomes were recorded.

The desired outcomes were achieved in a large majority (94%) of enquiries throughout the year.

Rutland County Council has made changes to its Safeguarding Adults information system to include mandatory sections on the wellbeing principles and outcomes and MSP, which have supported the embedding of these principles and recording and evidencing of outcomes. Personalisation surveys are completed at the end of the safeguarding episode and record the adult's satisfaction with the process.

MSP has been embedded throughout training and guidance within Rutland including within

- Rutland County Council Safeguarding Guidance

- New Starter Induction training
- The E-Learning module on safeguarding adults for all new starters.

The Peer Review of Rutland Adult Social Care found that the positive journey towards greater personalisation was evidenced in case examples, case audit and the values of the members of the workforce that the reviewers met.
Rutland have used the East Midlands Safeguarding Adults Network Regional Benchmarking Tool and the ADASS Temperature Check to assess progress on embedding MSP, comparing favourably in these with positive outcomes.

The SAB multi-agency audits during the year have found Rutland County Council to be clearly undertaking and evidencing MSP principles with no recommendations to change practice.

In addition to these independent audits, RCC have recently developed a Quality Assurance Framework that allows staff to undertake structured reviews of casework, which includes reviewing the case from a MSP perspective as a standard in all audits to ensure MSP is embedded into general practice and identify opportunities for improvement.

MSP is a core agenda item on the monthly Continuing Professional Development (CPD) sessions conducted with the RCC ASC teams and the council is looking to promote MSP at the Learning Disability Forum.

Rutland County Council are looking to commission training for providers to promote personalisation through the use of commissioning and direct payments.

Multi-agency actions have also been taken forward through the SAB Task and Finish Group. More information on this can be found in the Business Plan Priority section on Making Safeguarding Personal.

<u>Transforming Care</u>

As part of the LLR Transforming Care programme Rutland County Council are embedding Positive Risk Behavioural Support with a focus on supporting Service Users, providers, transfer of care services and lessening the impact of behaviours that challenge, thereby supporting the management of risk.

- Accessible Information has been embedded in the Councils' case management system which considers preferred communication format in relation to initial contacts taken via the Prevention and Safeguarding Team.
- Promoted awareness with specialist workers by attending workshops and training events
- Promoted awareness across SEND and Children's services on Transforming Care Agenda and safeguards
- The use of the Admittance Avoidance Register has promoted prevention work and joint working with health.

Safeguarding Adults across Leicestershire and Rutland

The Police have seen a 66% rise in the number of adult safeguarding referrals they have made across Leicester, Leicestershire & Rutland to nearly 13,000. It is believed this is related to greater recognition of vulnerability by frontline officers, following training.

Mental Capacity Act, Deprivation of Liberty Safeguards (MCA, DoLS)

The Mental Capacity Act, Deprivation of Liberty Safeguards (MCA, DoLS) provide a legal framework around the deprivation of liberty designed to protect the interests of vulnerable adults without the capacity to consent to care and treatment.

The DoLS service is hosted by Leicestershire County Council on behalf of Leicestershire and Rutland.

Following the significant increases in previous years, referrals for DoLS in Leicestershire & Rutland continued to increase from 3,395 in 2015/16 to 3,944 in 2016/17. Referrals have increased across all settings. Care homes are the main source of referrals (2,849), though referrals from private hospitals doubled from 55 (2015/16) to 106 (2016-17).

The increase, in part, is due to proactive work by the DoLS service and the Safeguarding and Compliance teams in Leicestershire and Rutland, with care providers and hospitals, and the number of providers and hospitals with no or low referrals has reduced.

Referral rates in Leicestershire and Rutland have remained high in comparison with other areas, which is identified as a result of careful interpretation of case law and good stakeholder relationships. Despite this and the proactive work mentioned, it is considered that the number of referrals does not represent the number of people who should have a DoLS assessment, given the number of care homes and hospital beds in Leicester, Leicestershire and Rutland.

As reported last year, additional financial resource to support the extension of this service to cope with the demand has been provided by the Local Authorities. At the end of March, the service had 14.5FTE (Full Time Equivalent) Best Interest Assessors, 10 more than in 2015/16 and are recruiting to have a team of 19.

The increase in resource has resulted in a reduction in the size of the waiting list, from 1,897 at the end of March 2016 to 973 at the end of March 2017. This included 784 urgent assessments in Leicestershire and 24 urgent assessments in Rutland that were outstanding. Most assessments have a wait of at least nine days.

There has been an increase in Paid Advocates (Paid Persons Representative [PPR]) from 15% of cases to 40% of cases following case law in 2016. Leicestershire have devised what is thought to be the first procurement framework nationally to ensure service users have access to a diverse range of PPRs. Due to the national increase in demand, Leicestershire have revised the frequency of visits in certain circumstances to release capacity within the current PPR providers.

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Guidance continues to change and the Law Commission has recently given formal feedback from its review of the legislation and proposed new Liberty Protection Safeguards.

Transforming Care

Transforming Care is focussed on making sure there is the right support for people to be discharged from inpatient hospital care and helping people who are at risk being admitted. This incorporates learning from national reviews and includes working towards the minimal number of arrangements where people are placed or receive their support out of the Leicestershire and Rutland area.

An on-line Risk Admission Avoidance register was introduced locally in January 2016 and has resulted in many more people (increased from five at the end of December 2015 to 78 in January 2017) identified as at risk of admission to inpatient settings due to their learning disability or autism and receiving support to prevent unnecessary admission.

The Safeguarding Board reviewed progress on the Transforming Care Plan and safeguarding impact during the year and noted that:

- Progress on reducing the number of inpatients was behind the planned schedule
- There is a broad level of support in place for people at risk of admission
- Procedures to prevent unnecessary admission into inpatient settings: Care Treatment Review and Blue Light meetings are preventing unnecessary admissions (63 across Leicester, Leicestershire and Rutland in the year to May 2017)
- A lack of appropriate accommodation for people waiting to be discharged from in-patient settings is a key risk to progress in providing appropriate and effective care and support.

The Board will continue to seek assurance regarding how this programme is supporting safeguarding of people with care and support needs, particularly with regard to learning disability and autism.

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Business Development Plan Priorities

SAB Priority 1 – Build community safeguarding resilience and be assured that people living in the community who may be experiencing harm or abuse are aware and know how to seek help

We planned to…

- Survey public understanding of safeguarding adults (abuse and harm)
- Initiate campaigns including awareness raising process
- Analyse existing referral information and data to understand the trajectory of contacts from the public and conversion to referrals
- Identify strategies and approaches to build resilience and raising safeguarding awareness

We did…

- Produced awareness publicity on adult safeguarding and distributed this through partners and community locations across the country.
- Carried out campaigns on financial scams with specific work with Social Care staff in Leicestershire.
- Reviewed data on contacts from the public and conversion of these to referrals was included in the dataset through the Safeguarding Effectiveness Group (SEG) of the Board.
- A piece of work was carried out in Leicestershire regarding alerts to Trading Standards regarding scams which found 40% of these were known to Adult Social Care.

The impact was…

- An increase in alerts from the public in both Counties, more significantly in Rutland (212% increase from 24 to 75).
- In both areas the number of enquiries that arose from alerts from the public increased.
    - In Leicestershire there were 233 compared to 132, conversion rate of 30% compared to 17% the previous year.
    - In Rutland there were 10 compared to 4, conversion rate of 13% compared to 16% the previous year.

Further work required…

- Further work is required to understand understanding and awareness regarding adult safeguarding in the public. This will be considered within the forward Board Priority on Prevention.

SAB Priority 2: Be assured that thresholds for Safeguarding Adult alerts are appropriate, understood and consistently applied across the partnership

We planned to…

- Test out, through case audits, how thresholds are currently applied
- Ensure the updated document is available to staff
- Continue to monitor the number of Safeguarding cause for concern alerts from Health providers raised with the Local Authorities in Leicestershire and Rutland
- Develop an effective escalation procedure for staff to use regarding referrals to Adults Social Care to ensure consistent thresholds.

We did…

- Reviewed the Thresholds document, published it on the SAB Procedures website and distributed Thresholds business cards to frontline practitioners across agencies providing a clear 'signpost' to the Thresholds document on the website.
- Carried out a multi-agency case audit with a focus on thresholds.
- Developed 'Guidance for the Oversight Process of 'Section 42' NHS Safeguarding Enquiries in Leicester City, Leicestershire and Rutland', with implementation supported by training and regular operational meetings between health agencies and Local Authorities.

The impact was…

- There is now consistent reporting on alerts to the Safeguarding Effectiveness Group (SEG).
- The number of alerts from Health providers to the Local Authorities has increased by around 50% compared to the previous year, from 79 to 123 in Leicestershire, and from 21 to 29 in Rutland, though the numbers dropped off at the end of the year after an initial increase.

Further development required…

- Data on referrals, including from Health providers, suggests that there may still be elements of under-reporting and over-reporting into Adult Safeguarding in some areas. Therefore, Safeguarding Adult Thresholds will continue as a priority into 2017/18.
- Cause for concern alerts from different sources will continue to be analysed and the dataset to the SEG will be revised to include:
    - The total number of cases received by Health Safeguarding Teams and subsequently discussed at the meetings between Adults Social Care and Health providers
    - The number of cases which met the higher level or serious safeguarding concern and result in enquiries
    - How many of the enquiries were substantiated.
- The Board will continue to review progress with regard to oversight of Section 42 NHS safeguarding enquiries.

SAB Priority 3: Champion and support the extension of Making Safeguarding Personal (MSP) across the Partnership and secure assurance of the effectiveness of multi-agency processes/working and evidence of positive impact for service users

We planned to…

- **Preparing the Workforce:** Ensure all agencies involved in safeguarding enquiries to have a clear plan of how MSP principles will be embedded in practice within their agency.
- **Embedding MSP Principles in Practice:** Ensure Safeguarding Adults Reviews (SARs) include consideration of how MSP principles were applied in each case. Consider and make any amendments required to Multi-Agency Policy and Procedures and internal processes. Keep informed of Local, Regional and National multi-agency picture relating to MSP.
- **Measuring Effectiveness:** Collate information to give assurance of the effective embedding of MSP principles in practice.
- **MSP Tasks Relating to Provider Services:** Raise awareness of MSP principles within provider services in Leicester, Leicestershire and Rutland and their role within this.
- Identify how the SAB will support provider services in addressing workforce development needs relating to embedding MSP principles in safeguarding practice.
- Evaluate and review how provider services are supporting individuals within safeguarding enquiries in line with MSP principles.

We did…

- **Preparing the Workforce:** Undertook a Deliberative Inquiry at L&R SAB to ensure all agencies are aware of the requirement and signed up.
- Assessed and challenged each agencies implementation of MSP.
- Communicated MSP principles with the Independent and Voluntary sectors through briefings and Trainers Network.
- **Embedding MSP Principles in Practice:** Added MSP questions as a standing item to the Terms of Reference for Safeguarding Adult Reviews.
- Completed the Association of Directors of Adult Social Services (ADASS) MSP Temperature Check.
- Added a section on MSP to Multi-Agency Policies and Procedures (MAPP).
- Added a library of MSP tools to the Board's website, with links from the MAPP.
- **Measuring Effectiveness:** Carried out a Multi-Agency audit process regarding MSP with Leicester City SAB, including active safeguarding enquiries to ensure feedback from the individual.
- **MSP Tasks Relating to Provider Services:** Presented on and discussed MSP with representatives from a number of provider services through the Trainers Network and the EMCARE Annual Conference in March 2017.
- Included MSP as a topic in the SAB Safeguarding Effectiveness Workshop – Supporting Care Providers in March 2017.
- The Leicestershire Social Care Development Group (LSCDG) and Learning and Development reviewed current multi-agency safeguarding training to ensure MSP principles are reflected.

The impact was…

- The number of cases where desired outcomes were asked and where those outcomes were met increased through the year in Leicestershire and Rutland.
- There was an increase in the proportion of service users reporting that they feel safe and that services have made them feel safe in Leicestershire and Rutland, and an increase in the proportion that feel they have control over their daily lives in Leicestershire.
- The live and case file audit found that the practice of the workers observed or spoken to was in line with MSP principles and workers were positive about the principles of MSP.
- The audit also found that on the whole people are being kept involved and informed within the enquiries, and effective work to engage people in understanding enquiries can gain agreement to continue.
- The ADASS MSP Temperature Check identified that Local Authorities and the Police have made significant progress on embedding MSP in many areas. University Hospitals of Leicester (UHL) have embedded this in a proportional way, and further support for development was required for the Clinical Commissioning Groups (CCGs).
- ADASS and the Local Government Association (LGA) expressed interest in the audit model used in Leicestershire & Rutland with its element of getting feedback directly from those involved in the enquiry. Leicestershire has also been asked to present the audit model to the East Midlands Safeguarding Adults Network

Further development required…

- As the live audits and temperature check were positive and everything had been progressed on the action plan, the work of the Task and Finish Group was completed by the end of the year.
- All future SAB multi-agency audits will incorporate MSP to test that MSP principles remain embedded, and the SAB will continue to seek assurance and support practice development regarding MSP as part of core business
- The MSP tool library on the SAB website will continue to be updated.

SAB Priority 4: Assure robust safeguarding in care settings – including health and social care at home, residential and nursing care settings

We planned to…

- Clarify safeguarding frameworks in both Care Home and Domiciliary Care settings and secure assurance that there is appropriate practice guidance in place
- Review Quality Assurance and Performance Management Framework to test effectiveness of safeguarding in care settings to include home care settings
- Identify any workforce development requirements to support improved quality and performance and be assured that this is delivered
- Assess and analyse current data to establish a targeted response to awareness raising and training needs.

We did…

- Updated the Performance Reporting Framework (PRF), monitored by the Safeguarding Effectiveness Group (SEG), with new indicators under this Priority to ensure that relevant data is collected
- Reviewed the Care Homes training matrix used by the CCG, CQC and Local Authorities to check compliance.
- Ran a Safeguarding Workshop for residential and community care providers in March 2017 attended by 52 participants from the Adult Sector workforce, including Independent Providers, Contracting and Compliance Officers, Safeguarding Leads and Quality and Assurance Leads. The workshop provided input to providers on key areas regarding safeguarding and provided a forum for providers, the Local Authorities and the Board to identify ways to improve safeguarding practice together. The topics covered included: Developing your competency; Provider Role in Safeguarding Enquiries; Thresholds; and Making Safeguarding Personal.

The impact was…

- The SAB has a fuller picture of safeguarding issues in care settings including health and social care at home, care home and nursing care settings.
- A significant reduction in safeguarding enquiries in residential settings in both Leicestershire and Rutland, alongside a slight reduction in the proportion of enquiries that were fully or partially substantiated in those settings.
- The provider workshop identified ways in which the providers, Local Authorities and the SAB can work together to improve practice when safeguarding concerns are identified:
    - The importance of continual two way feedback throughout the enquiry between the provider and Local Authority
    - Introduce more descriptive enquiry outcomes to inform current practice and future risk
    - Build familiarity with the Thresholds Guidance to aid decision making
    - Attend appropriate training to develop competence and confidence.

Further development required…

- Potential data sets regarding domiciliary care settings will be considered by the Safeguarding Effectiveness Group (SEG) for the 2017/18 performance framework.
- Follow up progress with providers and the Local Authorities on ways forward agreed at the workshop

In addition the LRLSCB shared three priorities for development and assurance with the LRSAB:

LSCB / SAB Priority 1: To be assured that there are robust and effective arrangements to tackle domestic abuse

We planned to…

- Scrutinise the new Domestic Abuse Pathway for services for victims (including children, young people and adults) ensuring it is fit for purpose and embedded across the partnership (UAVA)
- Ensure that there are effective information sharing arrangements in place to support the effective delivery of the pathway for services
- Be assured that there are effective preventative processes and intervention services in place for domestic abuse perpetrators.

We did…

- Reviewed progress on the domestic abuse pathway work and domestic abuse data and identified key gaps between the capacity of Independent Domestic Violence Advocate (IDVA) services and the demands being placed upon those services.
- The work on domestic abuse pathways has identified some elements of the system where Domestic Abuse related information sharing pathways work effectively, and where there are some high profile gaps.
- The Leicester, Leicestershire and Rutland Domestic Violence Delivery Group (DVDG) has worked to develop the use of Integrated Offender Management (IOM) to reduce the harm caused by DV perpetrators.

The impact was…

- Partners secured additional funding to increase IDVA services from April 2017.
- Reports of DA to the Police reduced compared to the previous year in both Leicestershire and Rutland, but referrals to MARAC increased.
- The majority of people from Leicestershire and Rutland receiving support regarding domestic abuse felt safer (88% and 98% respectively)
- Data is not yet available to measure effectiveness of the IOM approach.

Further development required…

- The DVDG is seeking further funding to increase the capacity of the Multi-Agency Risk Assessment Conference (MARAC) and its support functions to improve the overall response to domestic abuse across the partnership landscape.
- The Task and Finish Group were unable to complete work on the pathways, affected by complexity of pathways and capacity within agencies. This is being further considered by the Community Safety Partnerships.
- A Priority Perpetrator Intervention Tool and the CARA (Conditional Cautioning and Relationship Abuse) programme are being introduced in the area in 2017 to enhance the range of options and consistency of practice with regard to domestic abuse perpetrators.
- The LSCB will continue to monitor domestic abuse impact and further develop approaches through the joint priority on the Trilogy of Risk (Domestic Abuse, Substance Misuse and Mental Health).

LSCB / SAB Priority 2: To be assured that Mental Health Services incorporate robust arrangements to reduce safeguarding risk to children and adults

We planned to…

- Seek assurance from the **Suicide** Prevention Plan Strategy Group that the strategy is reducing risk
- Seek assurance that current information and resources available to children, young people and adults on **Self-Harm** are used across the LSCB and SAB partnership
- Seek assurance that the **Emotional Health and Well-being** pathway is robust and fit for purpose
- Seek assurance that the **CAMHS (Child and Adolescent Mental Health Service)** review includes improved safeguarding outcomes
- Seek assurance from agencies that their workforce, across both Children and Adult services, have an appropriate understanding of the **Mental Capacity Act and Deprivation of Liberty Safeguards (MCA DoLS)**
- Seek assurance that the **Learning Disability Pathway** includes safeguarding outcomes.

We did…

- The initial plan made very slow progress due to the breadth of the scope of the priority and delay in identifying a lead to drive this forward. The plan was revised in early 2017 to gain assurance through a series of assurance questions from key agencies and partnerships leading work on these areas.
- The Board received a report on the developing Adult mental health pathways in March 2017.

The impact was…

- The Board gained assurance that the Leicester, Leicestershire & Rutland (LLR) Suicide Audit and Prevention Group oversee and analyse suicide data and consider safeguarding issues within the revised Suicide Strategy and Action Plan (2017-2020).
- Safeguarding and Child Protection will be explicitly included the revised Children and Young People Mental Health Transformation Plan
- The Board gained assurance that the adult mental health pathway was robust.

Further development required…

- Reports to the Board on Child Mental health pathways, MCA DoLS and Transforming Care regarding Learning Disability, were scheduled for the June 2017 LSCB and SAB meetings.
- The Board has recommended that safeguarding is explicitly considered within any revisions to the Sustainable Transformation Plan (STP) within Health.
- Audit of deaths by suicide being carried out for the Child Death Overview Panel (CDOP) to come to the LSCBs Safeguarding Effectiveness Group (SEG).
- Significant further work is required to gain assurance on these areas. These have been incorporated in the Joint Business Development Plan Priority for 2017/18 on Emotional Health and Well-Being.

LSCB / SAB Priority 3: To be assured that the Safeguarding element of the Prevent strategy (Preventing Violent Extremism) is effective and robust across Leicestershire and Rutland

We planned to…

- Receive regular reports on Prevent work and safeguarding, including training and awareness raising
- Support and promote Prevent awareness to the public and particular groups of professionals.

We did…

- The Board considered safeguarding assurance with regard to Prevent through a deliberative inquiry at its meeting in July 2016.
- Showcased the Alter Ego "Going to Extremes" theatre production during its development at a joint City and Counties LSCB learning event to promote this to frontline staff and gain their input into its development.
- Two Prevent awareness sessions were delivered to foster carers and prospective adopters in 2016.
- The Board supported a local funding bid to support the promotion of Prevent awareness sessions with young people and training of carers and parents of people with learning disabilities.

The impact was…

- Across Leicestershire and Rutland over 6,000 people have now been WRAP (Workshop to Raise Awareness of Prevent) trained.
- The "Going to Extremes" production started touring Leicestershire and Rutland in March 2017 with 41 performances booked in schools and public locations between March and May 2017. This production has been well received by schools and pupils and is being considered by other areas.
- The Leicestershire schools annual safeguarding survey in 2016 identified that compliance with the new Prevent duty in schools is high and almost all schools (91.2%) had or were in the process of completing a Prevent risk assessment.
- The number and quality of Channel referrals from the County have increased, particularly from schools.
- In Leicestershire's inspection Ofsted noted that "The 'Prevent' duty work and agenda are embedded and continuing to develop in Leicestershire. There is clear strategic governance, and creative operational work is being undertaken to raise awareness and identify and respond to risks. There is a good understanding of the nature of potential extremism in the area, and effective individual work with young people is described."

Further development required…

- Funding for the Counties' Prevent Officer comes to an end in October 2017. An exit strategy is being planned in preparation for this to continue the partnership work on Prevent through the Hate and Prevent Delivery Group.
- The work of Prevent linked to safeguarding will continue to be monitored by the Board as business as usual.

Operation of the Board

Partner and Public Engagement and Participation

Partner Engagement and Attendance

Due to changes in meeting scheduling in 2017 the Board met five times during 2016/17. The membership of the Board can be seen in Appendix 1.

Whilst the Police, Rutland County Council, and the Fire Service attended all meetings, attendance for other agencies was mixed.

Leicestershire County Council and the two Clinical Commissioning Groups each attended the majority of meetings and sent apologies for any missed. Attendance by the District Councils improved during the year with the appointment of a new representative, who attended both meetings following their appointment.

Other Health partners and the Voluntary Sector representatives attended around half the meetings during the year. Engagement with the Criminal Justice Sector remains poor. Whilst the Community Rehabilitation Company attended one meeting and sent apologies to another, there was no attendance from the Prison Service or the National Probation Service to any SAB Board meetings during the year.

Attendance by the Private sector also remained low with attendance at only one meeting.

Agencies consistently engage well in the subgroups of the Board.

The new Independent Chair of the Board will engage with agencies to ensure appropriate attendance.

Public Engagement & Participation

The Board reviewed its approach to Engagement and Participation at the start of the year tasking individual Business Plan priority leads with incorporating this in their work on the priorities, rather than through a separate group.

The Making Safeguarding Personal Multi-agency audit included specific feedback from the people subject to the cases being audited.

Working with the co-production service at Leicestershire County Council, the Board involved adults with care and support needs in the recruitment of the new Independent Chair of the Board.

Agencies have identified how they are hearing and responding to the voice of service users, for example, University Hospitals of Leicester have recruited a patient partner to sit on their internal Safeguarding Assurance Group to ensure that a service user perspective is considered in any safeguarding work undertaken within the Trust.

However, engagement with and participation of vulnerable adults within the work of the Board on the Business Plan priorities has otherwise been challenging.

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Further work is required on this and the development of engagement and participation has been identified as a Priority for the SAB shared with the LSCB.

Assurance – Challenges and Quality Assurance

Challenge Log

The Board keeps a challenge log to monitor challenges raised by the Board and the outcomes of the challenges. During the year the following challenges were raised by the Board with safeguarding partners regarding the following topics:

- Multi-Agency Audits: at the start of the year the Board Chair challenged Board members to work together to implement an effective approach to multi-agency audits that supported a comprehensive assurance framework for the Board.
- Contributions of agencies to the budget of the Board and potential budget reductions; the Board challenged partners to strategically consider their budget contributions to the Board.
- Gaps in quality and accuracy of data provided to the Board and its SEG subgroup; the Board challenged all partners to review and ensure accuracy of data provided to the Board.

Following these challenges:

- A robust framework for multi-agency audits is in place and two multi-agency audits were carried out by the SAB in 2016/17.
- Further discussions are taking place regarding the future structures of the Board and the arrangements for setting agency contributions to the Board, and
- Partners have undertaken to ensure accurate data is provided, with no data issues identified in the quarter following the challenge.

Quality Assurance and Performance Management Framework

The Board operates a four quadrant Quality Assurance and Performance Management Framework as outlined overleaf. This is overseen by the Boards' Safeguarding Effectiveness Group (SEG) shared with the LSCB. The outcomes of and findings from this performance framework are incorporated in the relevant sections within the report.

The detailed elements of this are reviewed each year to ensure this provides assurance regarding core safeguarding business as well as Business Plan priorities and other emerging issues.

The overall model is also reviewed and engagement elements of the framework, both with staff and service users, require some further development in the coming year.

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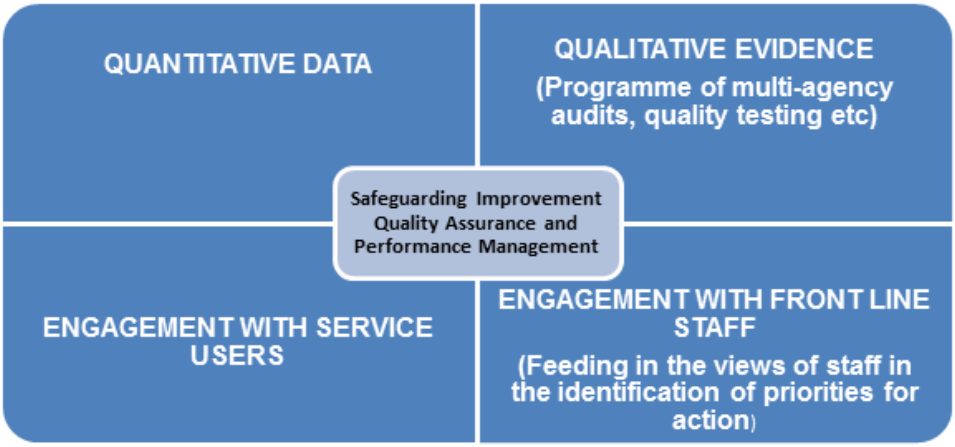

Audits

During 2016-17 the SAB carried out a Safeguarding Adults Audit Framework (SAAF) Audit that tests agencies compliance against their safeguarding duties within Care Act 2014 through an organisational assessment against safeguarding standards.

Audit returns from the nine agencies that work in Leicestershire or Rutland identify that most agencies consider that they are 'effective' or 'excelling' across the majority of the compliance questions that are relevant to them.

- District and Borough Councils identify they have further work to do to be effective in embedding safeguarding effectively in procurement and contract management.
- Public Health identify that Prevent and MSP principles are not effectively embedded in their planning, but these will be considered in their review of clinical governance arrangements. They do not yet have effective 'whistleblowing' procedures, but these are planned.
- University Hospitals of Leicester NHS Trust (UHL) are working towards compliance regarding benchmarking safeguarding concerns and enquiries
- Leicester Partnerships NHS Trust (LPT) are working towards effectiveness regarding MSP, MCA DoLS, restrictions and restraint, supervision and escalation, and addressing historical allegations, but report that safeguarding is not effectively integral in evaluation of services.

Commentary on audit returns from agencies identifies that a good level of testing is taken out in completing the audit. The SAB carries out a front-line practitioner audit bi-annually to check the findings of the SAAF audit, however there is currently no direct challenge element to self-reporting of progress. The SAB process for SAAF compliance assurance will be revised in 2017/18 to reduce the burden on agencies and incorporate more peer review and challenge of compliance findings.

In 2016/17 the Board introduced a new approach to multi-agency auditing, with a plan of case file audits during the year. During the year, two Multi-agency audits were carried out focussing on the following priorities:

- Use of thresholds for adult safeguarding
- Making Safeguarding Personal.

The audit process involves individual agencies auditing a sample of their own case files using a common tool, and bringing audits and learning to a multi-agency

meeting to be reviewed across partners. The cases are selected at random by the individual agencies. An independently selected random case sample will be considered by the SAB in future.

The Making Safeguarding Personal audit added a live audit element. This included direct observation of agency practice, discussions with service users about their experience of the enquiry and with workers about their understanding of MSP. This approach has gained much interest from other authorities and SABs in the region and national bodies such as the Local Government Association (LGA) and Association of Directors of Adult Social Services (ADASS).

The Thresholds audit of 24 cases found that:

- In the majority of cases thresholds were being appropriately applied with some inconsistencies in recording within LPT
- There is potential to improve information sharing in cases where both LPT and UHL are involved, and are overseen by Adult Social Care
- Recording in case notes regarding decision making about proceeding to 'Section 42' enquiries could be improved across agencies, referencing safeguarding thresholds
- There may be benefit in further work regarding joint responses between Leicestershire Police and Adult Social Care regarding safeguarding referrals involving known domestic abuse cases.

The outcome of the audit includes

- Three-way meetings with LPT, UHL and local authorities have been set up and are operating well.
- Domestic abuse has been adopted as a priority for the SAB for 2017/18 (within Trilogy of Risk).

The Making Safeguarding Personal Audit of nineteen cases, four of which were the live audits, found that:

- On the whole, people are being kept involved and informed within enquiries. A further area of work within agencies may be to ensure that the worker has a clear focus on establishing the extent the person wishes to be updated about the safeguarding enquiry, which will clearly vary, to avoid any further anxiety.
- Some people will change their minds about wishing the enquiry to cease, where workers establish their reasons for this, and talk to them about benefits of the enquiry and alternative outcomes (negotiated outcomes).
- Evidencing support to involve and inform people in the enquiry is important alongside achieving outcomes, as the desired outcomes for an individual will not always be possible to be achieved – for example when they do not want an enquiry and this needs to go ahead due to risk to others.
- It remains difficult to engage with people about their experience of safeguarding enquiries. Agencies should focus on establishing this whilst the enquiry is ongoing, with a worker the person has established a working relationship with, to have the best opportunity of supporting the person to express their views.

Agencies have taken away these learning points to embed this within their practice. Progress will be tested with a follow up audit on MSP in 2018. Thresholds will be considered as a key part of multi-agency audits in 2017.

Learning and Improvement

Safeguarding Adults Reviews and other Learning Reviews

The SAB SCR Subgroup receives information from agencies about serious incidents of abuse and considers if a Safeguarding Adult Review (SAR) or alternative review process is required to ensure multi-agency learning is captured and implemented. The group has provided a forum for professional scrutiny, advice and guidance to safeguarding leads for organisations. Single agency reviews have been discussed and felt by all members to be a valuable resource provided by the group as an opportunity for partnership reflection and support.

The Subgroup continues to retain full and appropriate membership from key partners and attendance levels have been good.

The Board have agreed to incorporate the following MSP questions into all reviews:

- Was the service user consulted?
- Were they listened to?
- Did they contribute?
- Did they feel safer?

In 2016/17, the SCR Subgroup received the following referrals for consideration and the table below outlines their progress as of March 2017:

Gender	Harm Factors	Type of Review	Progress
Female	Mental Health / Domestic Abuse / Substance Misuse	SAR (Appreciative Inquiry)	Review completed
Female	Alcohol misuse / Self Neglect	Alternative Review (Appreciative Inquiry)	Review completed
Female	Mental Health	SAR	Review underway
Male	Neglect	SAR	Awaiting Crown Prosecution Service decision
Female	Self-Neglect	Independent Review of work undertaken by Multi-Agency Safeguarding Group	In progress
Female	Substance Use	To be decided	Collating information
Female	Mental Health	Single agency review	Closed - satisfied with the findings of agency report and action plan
Female	Drugs / Alcohol	No review - did not meet criteria	Closed

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Learning from reviews

The two reviews completed in 2016/17 have focussed on issues of Mental Health, Alcohol Misuse, Domestic Abuse and refusal of services. Whilst the circumstances surrounding the cases were different, six themes have been drawn together.

Theme 1 – 'Better Conversations': Staff in all agencies to be reminded of the importance of 'Better conversations' at the point of referral so they result a shared understanding of what the concerns, desired outcome for service user and next steps are.

Theme 2 – 'Service users reluctant to engage': This can be a very complex and challenging area for staff to deal with. Staff should consider creative and partnership solutions to development engagement.

Theme 3 – 'Understanding Domestic Abuse and Older People': Staff to be reminded that in assessing Domestic Abuse situations they have a good understanding of aspects and impact of domestic abuse and consider specific vulnerabilities and relationship dynamics for individuals.

Theme 4 – 'Understanding Mental Capacity': Staff should have knowledge of the Mental Capacity Act relevant to their role; however, in practice, staff are supporting decision making all the time, so need to assume capacity unless there are indicators to the contrary for that individual and be clear who is accessing capacity, and what is the impact of Mental ill-health on daily living.

Theme 5 – 'The impact of Alcohol misuse': Supporting people who misuse drugs and alcohol can be challenging, complex and unpredictable. The issues are closely linked to **Themes 1, 2 and 4.** Staff should additionally consider resources and expert advice available and how they may be accessed.

Theme 6 – Self-Neglect: Staff need to be able to recognise Self-Neglect and be familiar with how to respond

The importance of use of the Threshold Guidance for Adult Safeguarding was highlighted through these themes.

The SCR Sub-group also considered an alternative joint Children and Adults review involving a young person who had recently moved into adulthood but were satisfied with the findings of both Local Authority and Mental Health Service internal reports, and identified no further learning.

Domestic Homicide Reviews

The LSCB and SAB manage the process for carrying out Domestic Homicide Reviews (DHRs) on behalf of and commissioned by the Community Safety Partnerships in Leicestershire and Rutland. This is managed through the joint Children and Adults section of the Boards' SCR Subgroup.

Two DHRs were completed during the year and the Community Safety Partnerships were awaiting feedback from the Home Office Quality Assurance Panel on these at the end of the year. Three further potential Domestic Homicide Reviews were considered, two did not meet the criteria, however an alternative review was carried out on one of these cases, and the third was in consideration at the end of the year.

Development Work and Disseminating Learning

The SCR Subgroup also reviewed the Boards' Learning and Improvement Framework and updated the referral form and the Domestic Homicide Review Procedures.

The LSCB produces a quarterly newsletter –Safeguarding Matters to disseminate key messages, including from reviews and audits across the partnership and to front-line practitioners. Issues of Safeguarding Matters can be found on the SAB website: http://lrsb.org.uk/newsletters

Learning has also been shared through single agency internal processes, Learning Events and the Trainers Network.

Co-ordination of and Procedures for Safeguarding Adults

In response to learning from the reviews and audits of practice, alongside research findings and review findings nationally, the Board has developed and updated safeguarding procedures as follows:

- Made changes to the Multi-Agency Policy and Procedures to improve accessibility and allow more timely changes to local documents
- Development of a Vulnerable Adults Risk Management (VARM) process to enable multi-agency working to identify risk and look for creative solutions particularly in cases of Self-Neglect
- Ensuring the procedures reflect the principles of Making Safeguarding Personal
- Updating the Escalation and Professional Disagreement Process
- Added signposts with the Multi-Agency Policy and Procedures to additional information on Forced Marriage, Human Trafficking and Modern Slavery and Preventing Violent Extremism
- Thresholds guidance updated to include Domestic Abuse
- Reviewed templates for Record of Strategy meeting, Conference agenda and Professional Report to Conference
- Commenced development of a Memorandum of Understanding between the Local Authority and Health where abuse is alleged to have occurred within a health setting.

Future Work planned includes:

- Completion and final sign off the Information Sharing Agreement (ISA)
- Final sign off of the Local Authority and Health Memorandum of Understanding
- Further development of guidance on Modern Slavery, Human Trafficking and Prevent
- Reviewing guidance regarding allegations made against staff.

Vulnerable Adults Risk Management Process (VARM)

In response to the increase in alerts regarding self-neglect and an identified need for a consistent response to the often complex nature of these cases with a lack of engagement; Vulnerable Adults Risk Management Process (VARM) Guidance has been developed by the three Local Authorities in Leicester, Leicestershire and Rutland, with assistance from Leicestershire Police. This has been considered by and is supported by the LRSAB.

The guidance focuses on co-ordinating a multi-agency approach to provide more consistency in working with people in situations of risk, where they are not engaging with agencies and in particular for working with people at high risk in relation to self-neglect. It is felt this approach is likely to be more effective than using the safeguarding process for self-neglect, where the person is felt to have capacity to understand the risks involved, given there is no abuse by a third party. This is an LLR approach, which will support partner agencies working across all three areas.

Initial training has been undertaken on the VARM with Local Authority Service Managers and feedback from this shows this approach is welcomed as being a positive development to better support operational practice when working with people who are at risk through self-neglect.

Training and Development

The SAB, through its Safeguarding Effectiveness Group regularly requests information from its partners regarding the effectiveness of their safeguarding training programmes.

During the year the SAB has challenged the Local Authorities regarding the lack of information they were able to provide to give assurance on workforce training and competency. At the end of the year assurance had been received from all partners regarding the safeguarding training and competence of their workforce.

The Trainers Network has met four times with regular attendance of forty staff from the Independent, Statutory and Voluntary Sector who have a responsibility for developing and delivering learning and development opportunities.

The Network continues to give participants the opportunity to discuss:

- National and local developments in practice and procedures
- Learning from reviews (national and local)
- Learning delivery methods – What Works and What Challenges
- Embedding the Competency Framework.
- Updates to Training Material/Resources.

During 2016/17, the focus has been on Making Safeguarding Personal, updating of Training material for ‘Reporting concerns, allegations or disclosures of abuse’ and finding creative ways to embed the competency framework into staff development

The Network supports dissemination of information and awareness raising materials such as Safeguarding Matters, Leaflets and training events.

Feedback from the group has been sought on levels of understanding of MSP and ease of access to the procedures.

Partner updates

Our partners provide assurance regarding safeguarding practice and development throughout the year. Key achievements and areas for development for partners are outlined in Appendix 2 to this report.

Business Plan Priorities 2017-18

Review and analysis of learning, performance information and emerging issues have led us to identify the following priorities for 2017-18:

Development Priority	Summary
1. Prevention	Developing a prevention strategy, assurance regarding safeguarding elements of local prevention strategies and developing community awareness
2. Making Safeguarding Personal (MSP)	Continuing development of MSP across partners
3. Thresholds	Identifying and addressing gaps regarding over and under-reporting
4. Self-Neglect	Establishing and embedding a robust process for practitioners to respond to self-neglect

The following priorities are shared with the Leicestershire & Rutland Local Safeguarding Children Board for 2017-18:

Development Priority	Summary
1. The 'Trilogy of Risk'	Assessing approaches to safeguarding adults and children where domestic abuse, substance misuse and mental health issues are present
2. Participation and Engagement	Establishing visible effective participation by children and vulnerable adults at Board level
3. Emotional Health & Wellbeing	Develop understanding of emotional health and well-being across the partnership and gain assurance regarding Better Care Together (BCT) and the Sustainable Transformation Plan (STP) that work is addressing safeguarding issues, particularly re: mental health
4. Multi-Agency risk management / Supervision	Develop a multi-agency supervision approach for risk management in safeguarding adults and children

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Appendix 1 - Membership of the SAB 2016/17

Independent Chair

Members

Borough and District Councils (represented by Melton Borough Council)
Derbyshire, Leicestershire, Nottinghamshire and Rutland Community Rehabilitation Company (DLNR CRC)
East Leicestershire and Rutland Clinical Commissioning Group (CCG)
East Midlands Ambulance Service (EMAS)
East Midlands Care Association (EMCARE)
Leicestershire County Council
Leicestershire Fire and Rescue Service (LFRS)
Leicestershire Partnership NHS Trust (LPT)
Leicestershire Police
National Probation Service (NPS)
Prison Service
Rutland County Council
University Hospitals of Leicester NHS Trust (UHL)
Voluntary Action LeicesterShire (VAL)
West Leicestershire Clinical Commissioning Group (CCG)

Observer status:

Leicestershire County Council Lead Member for Adult Social Care
Rutland County Council Lead Member for Adult Social Care and Health

Professional Advisers to the Board:

Boards Business Office Manager
Legal Services for the Safeguarding Boards
Adult Safeguarding Leads in the two Local Authorities
Designated Nurse Children and Adult Safeguarding – CCG hosted Safeguarding Team

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Appendix 2 - LSCB Partner updates in full

East Leicestershire & Rutland Clinical Commissioning Group (ELRCCG) and West Leicestershire Clinical Commissioning Group (WLCCG)

Developments with regard to the agencies approach to safeguarding in the year:

Maintaining Statutory Responsibilities: During 2016/17 West Leicestershire CCG and East Leicestershire and Rutland CCG (hereafter known as the CCGs) continued to exercise their statutory responsibility towards safeguarding children and vulnerable Adults. The CCG Chief Nurses represented their CCG as a statutory member of the Leicestershire and Rutland Safeguarding Children Board and the Safeguarding Adult Board. The CCG Deputy Chief Nurses represent their CCG at the Leicestershire and Rutland Safeguarding Children and Adult Executive.

LSCB/SAB support from CCG Designated Professionals: The CCGs have maintained the expertise of Designated Nurses Safeguarding Children and a Designated Doctor Safeguarding Children. The CCGs commit the Designated Nurse role and the CCG Safeguarding Team to provide extensive support to the LSCB/SAB. During 2016/17 this has been in terms of: chairing the LSCB/SAB Safeguarding Effectiveness Group; membership of a number of LSCB/SAB Sub Groups including the Serious Case Review Sub Group; Chairing a LSCB Child Alternative Review; Panel member of the 2016/17 Child Serious Case Reviews, Adult Reviews and Domestic Homicide Reviews. Taking a leading role in the promotion of the Neglect Toolkit.
The Designated Nurse Safeguarding Children and Adults has contributed to the LSCB/SAB 2017 Safeguarding Matters publication promoting Safeguarding Supervision.

The work of the CCG Named GP's Safeguarding Children This role ensures that the GP safeguarding leads in all of the GP Practices (across Leicestershire, Rutland and Leicester City) receive consistency in safeguarding information and support in addition to mandatory safeguarding training. The CCG Named Safeguarding GP's delivers children's safeguarding training to GPs and leads the GP Safeguarding forums and GP Safeguarding Bulletins
The GP Safeguarding Forums 2016/17 have included the following topics.

- Meeting with Social Care Managers
- Complaints from GPs regarding the lack of continuity regarding access to Children's Social Care
- The quality of GP referrals to Children's Social Care

The GP Forums provide a venue for discussion for information the LSCB/SAB disseminate to GP Practices in addition to emailed information.

The CCG Heads of Safeguarding Children and Adults support the Designated Professionals to ensure effective interface with the Safeguarding Boards is maintained and delivery of the priorities for the CCG Hosted Safeguarding Team continue to be met.

GP Safeguarding Advice Line. Provided by the CCG Hosted Safeguarding Team this is available to all GPs across Leicester, Leicestershire and Rutland

MCA/DoLs - Rainbows Project: My Adult My Child- website
The NHS England MCA Improvement Programme was launched across Leicestershire, Lincolnshire and Rutland in 2015 the aim is to increase understanding about and implementation of the Mental Capacity Act by adding value to existing local activity and plans. This initiative was fully supported by the LSCB/SAB. A Designated Nurse Safeguarding led the User Group work stream for the Improvement Programme that developed the website My Adult- Still My Child.

The website was launched in September 2016, it is aimed at those new to making Best Interest Decisions and especially those caring for a young person in transition to adult services. To this end it is a valuable resource for parents/carer and professionals. Parents and carers from Rainbows Hospice Loughborough and Together for Short Lives ensured that the website was co-produced and inspired by those who have experienced decision making within health and welfare settings and felt unprepared or challenged without such guidance.

CCG Safeguarding Assurance: throughout 2016/17 the CCG Quality and Assurance Group and Governing Body has received assurance the status of how commissioned health services have in place key safeguarding requirements for adults and children

Impact of developments and work carried out

Designated Nurse Chair of LSCB Safeguarding Effectiveness Group has maintained a focus on continuous improvement with regards to reporting from meaningful and accurate data to demonstrate the effectiveness of partnership working. This has enabled discussion and partnership challenge at the LSCB. Key results include raising the profile of: the Voice of the Child: strengthening multi-agency care planning for Children in Need: Establish the level of children and adult safeguarding training across the partnership: the lack of an agreed information sharing pathway for Domestic Violence: compliance with the Care Act 2014.

CCG Named Safeguarding Children GPs The impact of the work of the CCG Named Safeguarding GP's is evidenced by well attended and evaluated GP Forums and above 90% uptake of children and adult safeguarding training for all GPs across the CCG. To this end the role has raised the profile of safeguarding across the CCG.

GP Advice Line The introduction of the GP advice line providing support and guidance to GPs this has been well received and GPs acknowledge it helpfulness – evidenced by GPs contacting Social Care with safeguarding concerns.

The audit work with GP Practices has resulted in:

- Domestic Violence/Abuse – GP Policy and Guidance being developed and training commissioned
- GPs have easy access to GP Referral form via PRISM. This has provided evidence of both the good work currently being undertaken by GPs and areas for improvement. To increase in knowledge and confidence will have enabled GPs to make better decisions regarding Safeguarding.

Areas for further development or action to support safeguarding

- Supporting the GP practices as required following submission of the GP Quality Safeguarding Markers.
- Continued dissemination of learning from LSCB /SAB to GP Practices
- Continues application of the locally agreed Safeguarding Adults Thresholds with health commissioned services
- A Domestic Violence/Abuse Policy will be available for GP practices

DRAFT

Leicestershire County Council

Developments with regard to the agency's approach to safeguarding in the year:

In response to internal safeguarding audit findings, the focus of the LA Safeguarding Adults Team has been revised within the restructure of the Adult Social Care pathway.

Threshold assessment will be carried out by the Customer Service Centre.
Local Area teams will have an increased role in safeguarding enquiries, with the safeguarding team only involved in brief interventions establishing enquiries, desired outcomes and initial strategy meetings where an individual is not already known to services.

This approach is intended to ensure that immediate risk is consistently addressed, and that the adult at risk's views and wishes are established as soon as possible. It will also ensure that ongoing resources are prioritised appropriately according to levels of risk. Additional practice guidance has been developed to support the safeguarding and Locality Teams around the changes, including for Locality Teams around undertaking Organisational Safeguarding enquiries which were previously undertaken primarily by the Safeguarding Team.

The County Council have made significant changes to the safeguarding enquiry 'forms' on their case management system during the year to enable better capture and recording of the views and wishes of those involved in safeguarding enquiries in line with the principles of the Mental Capacity Act and to ensure that risk is appropriately assessed and managed within the enquiry. Developments include:

- New Making Safeguarding Personal screens where details are captured about how the individual's outcomes are discussed with them and how these will be achieved
- Requirements to evidence that Mental Capacity Assessments have been undertaken where there are doubts about the person's capacity to make decisions about the enquiry and how best interests decisions have been made
- Mandatory risk assessments and manager oversight and approval
- Consultation with the adult at the conclusion of the enquiry to capture their views about how involved and informed they felt within the enquiry, and whether their outcomes have been achieved.

Based on the outcome of safeguarding audits and feedback from staff, the Leicestershire safeguarding training programme, which had been delivered by an external agency, has been reviewed. Delivery has been moved in-house within the Local Authority to ensure that local processes and practice requirements are reflected, as well as statutory duties under the Care Act.

The new training offer is more aligned to the SAB training competencies. It will move away from the previous model of a mandatory day of training every 3 years, and focus on a core day around statutory responsibilities, with a series of shorter 'bolt on' modules, focussed on areas identified through audit as key areas of focus for

practice. These will include risk assessment, mental capacity assessment within safeguarding enquiries, supervision, effective safeguarding meetings, working with service providers in enquiries and domestic abuse and coercive control. The Local Authority's approach to the Competency Framework around safeguarding is also being developed to support managers and staff to easily review and assess competency in these areas within supervision.

This model of training will ensure that learning is ongoing throughout the year, and there is a focus on practical support as well as on statutory duties and theoretical models. There will also be work undertaken by Lead Practitioners to help facilitate workshop type sessions on particular themes using case studies in team meetings to learning and development around safeguarding is not only reliant on formal training sessions.

Safeguarding Training sessions for the new Service Managers have already been undertaken and feedback from this has been very positive, with consistent comments that this approach feels more relevant to operational safeguarding practice. New practice guidance is also in place in light of the changing focus of the Safeguarding Team in the new structure, and work has been undertaken by the Safeguarding Lead Practitioner around managing safeguarding case with social workers across the care pathway.

Impact of developments and work carried out

The impact of the restructure of Adult Social Care will not be seen until 2017-18. The developments of the Council's information system have supported the increase in recording of desired outcomes in safeguarding enquiries and ensured the Local Authority is able to report on Making Safeguarding Personal data, both internally to the SAB and, as required, to the East Midlands Safeguarding Adults Network.

Areas for further development or action to support safeguarding

In response to feedback from staff, the Council is looking to make the training for recording safeguarding enquiries more relevant to practice by basing this on case examples.

DRAFT

Leicestershire Fire and Rescue Service

Developments with regard to the agency's approach to safeguarding in the year:

A full time member of staff has been seconded to work with the police Adult Referral Team. This is a pilot project to look at how we can improve information sharing and joint working. This is the first time that we have had a named person who can manage ongoing cases.

We have developed a new partner referral form and risk matrix for prioritising requests for home fire safety checks, so our work can be targeted at the most vulnerable.

Hoarding risk matrix is being used widely by our crews.

Community safety staff attended mental health first aid training. We are now looking at rolling it out to the wider work force.

Two practitioners attended training for adult fire setters with a view to working with mental health professionals and/or prisons when appropriate.

Nationally, fire services are moving towards the production of standard safeguarding best practice advice for this sector, which will be very welcome. The Safeguarding Manager recently attended a National Conference .

Impact of developments and work carried out

Our new VP officer is attending incidents together with police officers and other agencies – e.g. housing and ASC. We have good examples of multi-agency working in cases of self-neglect.

We know that our operational crews are much more aware of safeguarding responsibilities as our Designated Safeguarding Officer is receiving much more frequent enquiries and requests for advice.

Areas for further development or action to support safeguarding

New scenario based Safeguarding training package is being developed – we aim to launch it by September.

We are currently looking at the structure of our internal safeguarding / vulnerable people team to ensure that we have an adequate number of people who can respond appropriately to alerts from firefighters and referrals from external agencies.
Mental Health first aid training for operational managers – see above comments.
After the pilot secondment project with the Police, we will make a decision as to the best case management system to use for VPs – i.e. one which will support multi-agency working.

The set-up of a new national fire service safeguarding group, which our Safeguarding manager will attend, should support us in improving our practice.

Leicestershire Partnership NHS Trust (LPT)

Developments with regard to the agencies approach to safeguarding in the year

Feedback from a CQC review of health services for Children Looked After and Safeguarding in Leicester City was the catalyst for strengthening the implementation of the Whole family approach to safeguarding. LPT adopted a Whole Family Approach to Safeguarding in 2016/17, building on the Think Family work already underway in LPT. Implementation will include replacing the traditional level 2 adults safeguarding training and level 3 safeguarding children training with the combined 'Whole Family' safeguarding training. LPT have also implemented systems to improve communication across adult & children's services within LPT and promoted the 'Whole Family Approach' via posters and monthly bulletins and changes to electronic systems.

It was identified by the CQC that the quality of Inter-agency referral forms submitted by School Nurse, CAMHS practitioners and Adult Mental Health practitioners required improvement. LPT have developed and implemented an Inter-Agency Referral Standard Operating Guidance to improve the quality of inter-agency referrals submitted to Children's Social Care. Quality reviews of Inter-agency referral forms submitted to Children's Social Care by school nurses, CAMHS and adult mental health staff are conducted quarterly.

MAPPA: A MAPPA Audit tool developed, improving on a pre-existing audit tool developed in 2013/14. The audit was carried out in June 2016.

Section 42 Enquires: An improved process for Local Authority Oversight and effective multi-agency working in relation to Safeguarding enquires under section 42 of the Care Act was developed. Improved internal processes, which ensure more robust governance relating to Section 42 enquires, were also put in place.

Mental Capacity Act: A MCA improvement plan was developed and supported by the LPT Chief Nurse.

Impact of developments and work carried out

Inter-agency referrals: The quality reviews will measure the level of improvement in relation to inter-agency referrals submitted to Children's Social Care, helping to ensure the right service is provided at the right time.

Whole family: Adult staff are now able to access details of a child's health visitor or school nurse where necessary and appropriate via a single point of contact.

MAPPA Audit: this was targeted more specifically to relevant Mental Health / Learning Disability services. Results provided some supporting evidence that LPT MAPPA cases were largely correctly identified by category and level, and that cases that were not correctly identified were subsequently corrected and alert wording changed to ensure future cases were recorded correctly.

Section 42: Improved processes have resulted in more robust systems to support implementation of Making Safeguarding Personal.

MCA: Greater assurance that principles of the MCA are fully applied within LPT clinical areas.

Areas for further development or action to support safeguarding

From April 2017, LPT will deliver Level 3 Whole Family safeguarding training to all LPT adult & children clinical staff.

Repeat MAPPA Audit June 2017 to compare results.

Further work in embedding the Whole Family approach to Safeguarding and MCA improvement.

DRAFT

Leicestershire Police

Developments with regard to the agencies approach to safeguarding in the year

In 2015/2016, we made 7,782 adult safeguarding referrals across Leicester, Leicestershire and Rutland; in 2016/2017, we have seen a 66% rise to nearly 13,000 referrals. The trend continues to show an increase of reports monthly.

We are still analysing the full reasons behind this increase but currently we believe this to be down to our Protecting Vulnerable Persons (v4) training programme. This has led to increased recognition of vulnerability by frontline officers.

We have also seen that, as partner agencies' resources are declining, we are being called upon by the public and those agencies to respond. As Policing duties are to protect life and property, this often can mean that we are charged with responding to calls that aren't to investigate crime. We see a particular rise in demand in the evenings and at the weekend.

This has led to 98 multi-agency investigations. This is a 23% drop from 2015/2016. This supports the theory that we are not seeing a rise in vulnerable adults who are the victims of crime, but we are seeing a rise in the number of vulnerable adults who are in need of partner services' support but have called upon the police to attend.

We have issued 84 domestic violence prevention orders. Following a HMIC review, Leicestershire Police has stopped reviewing High-risk assessments domestic incidents. This has seen a 50% increase in the number of high-risk assessments following a domestic incident. In order to manage this we have had to move to a weekly MARAC.

A Multi-Agency DV Executive group has been formed, chaired by Assistant Chief Constable Rob Nixon.

To meet the increasing demand upon the Domestic Abuse Investigation Unit, there has been an active recruitment to increase the establishment. Some work has also been completed within the localised Force Investigation Units to ensure officers' awareness with dealing with Domestic Abuse cases.

We have introduced the Herbert Protocol: a missing form which is completed when someone is diagnosed with Dementia. If they go missing and the police are needed to help find them, the form is handed over, detailing a current photograph, hobbies and previous jobs. This assists us to find the missing individual as soon as possible. We have worked closely with the Alzheimer's Society who have helped us to design the form and will assist with the completion of it.

Impact of developments and work carried out

There has been positive feedback from the HMIC about the vulnerability culture Leicestershire Police operates within, including confirmation that there is a good understanding of vulnerability at all levels within the Force.

During the cold winter months, local Police Community Support officers found an elderly male drunk in the city. They engaged with him and agreed to get him home safely. When at his premises it was highlighted that he had no gas or electric; they noted the house was cold due to having broken widows and there was evidence of extreme damp in the property along with evidence of no personal care, with the property being in a poor and dirty state presenting a health hazard. The PCSOs engaged the following day with the Adult Referral Team who called for an urgent multi-agency response. The male was identified as suffering with the effects of hypothermia and was hospitalised. The house being privately owned posed problems but these were overcome to make repairs; support was given around finances and paying the amenities bills to ensure a better quality of life for the gentleman. The reason for the male going out to public houses and getting drunk was due to the public houses being warm.

Areas for further development or action to support safeguarding

- To identify smarter ways to meet demand in a world of ever decreasing resources both within our organisation and the demand impact from partners.
- To better identify hidden demand again looking at smarter ways to reduce or remove this demand.
- To better engage with private sector partners with a view of sharing and reducing demand.
- The Force is developing an overall Vulnerability Strategy and a Children's Strategy to ensure the voice of the child is incorporated into every strand of policing.
- A review of the Force's Missing from Home process has just been completed, and new working practices are awaiting finalisation, following consultation at local level through to the National Police Chiefs Council.
- Police and Crime Plan 2017-21 includes a focus on specific areas with links to safeguarding adults: Alcohol and drug related incidents; Domestic Violence and Abuse including coercion; Human Trafficking and Modern Day Slavery; Mental Health; Missing from home individuals; Prevent strategy and Sexual violence.
- Leicestershire Police will maintain the regime of internal audits and co-operation with reviews (both internal and external, eg SCRs, DHRs, SILPs etc) to ensure continued compliance with the need to recognise, identify and report vulnerability.

DRAFT

Rutland County Council

Developments with regard to the agencies approach to safeguarding in the year

RCC has embedded a new Adult Social Care role – Assistant Care Manager (ACM) – within the Prevention and Safeguarding Team who can provide time limited and person centre outcomes for those adults who are deemed at risk of being re-referred as a Safeguarding Adult's enquiry. This service is non-means-tested to encourage those at risk of self-neglect to engage with support.

Currently there are three ACM posts and Rutland plans to recruit one more ACM and a social worker to extend capacity and provide a more rapid response to enquiries where safeguarding, neglect and self-neglect are indicated. The ACMs are managed and supported by a Senior Practitioner to provide professional support and development.

Rutland County Council has made changes to its Safeguarding Adults case management system to include mandatory sections on the wellbeing principles and outcomes and MSP. Accessible Information standards are now embedded within the system which considers preferred communication format in relation to initial contacts taken via the Prevention and Safeguarding Team.

These system changes mean outcomes now follow through to point of closure within the safeguarding episode and practitioners are required to record and evidence whether outcomes have been achieved for the adult and how they were achieved. Personalisation surveys are completed at the end of the safeguarding episode and record the adult's satisfaction with the process. Rutland County Council's performance team regularly review this data and identify trends and themes in order to shape service development moving forward.

All Adult Social Care practitioners who are responsible for processing enquiries have completed safeguarding adults training at an investigator level.

All practitioners within the Adult Social Care service in Rutland, including integrated Health colleagues, attend Safeguarding Continuous Professional Development (CPD) sessions bi-monthly. These sessions include updates in relation to MSP and provide support and guidance on any MSP related issues within care management. Any feedback from audits and system changes are disseminated and discussed and workers are encouraged to present case studies for peer review and peer shared learning.

Adult Safeguarding Basic Awareness Training (In House) is provided to all new starters within Adult Social Care and refresher training ongoing for current employees – 7 sessions in the last year, two more booked. Attendees include REACH team, PAs, Social Workers, OTs, Case Managers, Hospital Discharge Team (all disciplines), Team Assistants and staff recently new in post.

Staff Health Check (Adult PSW Health Check) completed by frontline workers to encourage them to discuss professionalism within practice and how they would like RCC to move forward in relation to developing their skills as practitioners.

Impact of developments and work carried out

The prevention approach with the ACMs has contributed to a reduction in referrals to the long term team with less than 10% of all new contacts transferred for long term intervention.

The changes to the Case Management System mean outcomes now follow through to point of closure within the safeguarding episode and practitioners are required to record and evidence whether outcomes have been achieved for the adult and how they were achieved. Personalisation surveys are completed at the end of the safeguarding episode and record the adult's satisfaction with the process. Rutland County Council's performance team regularly review this data and identify trends and themes in order to shape service development moving forward.

Training feedback forms have rated the training highly and indicate that attendees have felt that it will beneficial to their roles. Localised training with relevant links and case studies have proved popular.

A peer review of Rutland Adult Social Care in March 2017 found:

- Overall there is an excellent offer to the people of Rutland and outcomes are good
- Reviewers were impressed with commitment, enthusiasm, values and attitude of all the staff we met, at all levels
- Reviewers were particularly impressed with the whole council approach around support into employment encouraged directly by the Chief Executive
- The focus on non-eligible citizens (prevention) and developing approach to working with those people who have been institutionalised historically was particularly noted
- Strong focus on personalisation moving forward in relation to all areas of practice (embedding personalisation within all aspects of social care)
- Good leadership in relation to professional development and positive that Health colleagues are invited into and attend continuous professional development sessions.

Areas for further development or action to support safeguarding

A programme of internal audits will always consider MSP, outcomes and the quality of the documentation linked to the safeguarding episode. Further development of the Liquid Logic information system, contacts and safeguarding documentation will be looked at on an ongoing basis. Training will be developed internally around completion of the safeguarding episode with supporting guidance for all staff within the social care team.

Further development will be ongoing regarding legal literacy, coercion and control, VARM and criminal / civil law interactions. The additional ACM and Social Worker to be recruited will also enhance the response to safeguarding enquiries in Rutland.

Increased quality assurance around personalisation within multi-disciplinary teams.

Forward development of training:

- CPD Meetings to be unified with OTs and also include general “Social Care CPD” meetings now as well as “Safeguarding CPD” meetings
- Ongoing refresher sessions of Adult Basic Awareness for Social Care staff
- Working with HR to ascertain which RCC staff have completed e-learning so that future training can be tailored to meet unmet needs
- Senior Practitioner will be working across Adult Social Care to evaluate the Adult Safeguarding Competency Framework and this will take into account practitioner’s use of MSP
- Asset Strength Based Training will be delivered within the next 3 months.

DRAFT

University Hospitals of Leicester NHS Trust (UHL)

Developments with regard to the agencies approach to safeguarding in the year

University Hospitals of Leicester NHS Trust is a large organisation that employs around 15,000 staff. Safeguarding patients and protecting them from harm and abuse is integral to the work that we do.

The Trust has supported the work of the Leicestershire and Rutland Safeguarding Boards, in particular:

- We have been involved in the new multi-agency audits developed by the Boards; overall these have provided additional assurance that our practices are generally robust
- We have supplied quarterly performance data to help build up a greater understanding of safeguarding performance and we introduced a patient partner
- Undertaken work to implement 'Making Safeguarding Personal'; therefore strengthening the voice of service users during adult safeguarding investigations.

In 2016, the Trust had two comprehensive inspections by the Care Quality Commission (CQC), which considered the Trust's approach to safeguarding. Their findings led to the development of an action plan and, as a consequence, the following changes to practice were made:

- Introduced new guidance and training for staff on the use of the Mental Capacity Act
- Increased the capacity of our maternity safeguarding team in response to increasing levels of referrals.

As a Trust, to strengthen the voice of service users, in November 2016 we secured a patient partner to sit on our internal Safeguarding Assurance Group. This helps ensure that a service user perspective is considered in any safeguarding work undertaken within the Trust.

We also secured funding for a hospital based Independent Domestic Violence Advocate (IDVA) to work in our Emergency Department.

Impact of developments and work carried out

In response to the issues raised above, we believe we have changed practice in the following areas:

- Making Safeguarding Personal has strengthened the way in which staff talk to adults in need of safeguarding, to ensure their views are listened to
- Audits are being carried out to demonstrate greater understanding by staff of the use of mental capacity assessments and their application when consenting patients for treatment
- The voice of the patient is being firmly embedded in the work the Trust does, making sure we consider the impact of our work on patient care.

In response to recommendations made by the CQC, our completion of actions has strengthened our internal safeguarding systems to ensure that best practice is followed.

The role of the IDVA is to provide early support and advice to victims of domestic violence whilst they are considered in a place of safety, helping them to make decisions about personal safety.

Areas for further development or action to support safeguarding

As a Trust, we strive constantly to improve our practice; for the new financial year we are going to undertake further work in the following area:

- Complete further internal audits to ensure that practice in consent to treatment and detecting safeguarding issues in our Emergency Department are embedded.

DRAFT

APPENDIX A

1. Rugby Road jw Hawley Road / Westfield Road
2. Rugby Road jw Brookside
3. A47/A447 Normandy Way junction
4. A47 Approach to Dodwells Rbt (A5)

For preliminary junction capacity proposals, see Appendix D

Barwell SUE
(~3,000 dwellings)

West of Hinckley
(~800 dwellings)

A5 Dodwells Roundabout to Longshoot widening - Proposed (2020) Highways England scheme

A5 Dodwells Roundabout- junction improvement delivered by Highways England in 2015

Sketchley Brook
(Mixed residential / industrial)

HINCKLEY

Barwell

Burbage

Sketchley

Hollycroft

Hydes Pastures

KEY

- SUE/MAJOR DEVELOPMENT AREAS
- SHOPPING AND LEISURE AREAS
- TRAIN STATION
- BUS STATION
- WALKING / CYCLING NETWORK - ON & OFF CARRIAGEWAY (ZONES 1-3)
- **ZONE 4** *(First Phase)* EXTENSION OF WALKING / CYCLING NETWORK - ON & OFF CARRIAGEWAY (ZONE 4)
- EXISTING 20 MPH ZONES
- PROPOSED ADDITIONAL 20 MPH ZONE (ZONE 4)
- PRIORITY CAPACITY IMPROVEMENT SCHEMES
- **ZONE 4** *(Second Phase)* POTENTIAL CAPACITY IMPROVEMENT SCHEMES (TO BE DEVELOPED)

NOTE:
ADDITIONAL MEASURES (PHASES 1 & 2) SEE NOTE BELOW *

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*** NOTE**
OTHER MEASURES INCLUDE:

- PARKING IMPROVEMENTS
- IMPROVED TRAFFIC SIGNING (INC VMS CAR PARK SIGNING)
- VARIOUS PEDESTRIAN AND CYCLE IMPROVEMENTS

Leicestershire County Council

ENVIRONMENT AND TRANSPORT DEPT

PHIL CROSSLAND
DIRECTOR

TRAFFIC & SAFETY GROUP

HINCKLEY AREA PROJECT

TITLE:
OVERVIEW OF PROPOSALS HINCKLEY ZONE 4

DRAWING NUMBER		SCALE
HINCKLEY/OVERVIEW 1		NTS
PREPARED BY:	A. TAYLOR	DATE: AUG 2016
CHECKED BY:	M. PALFREYMAN	SIZE : A3
APPROVED BY:	M. PALFREYMAN	CORR. FILE :

COUNTY HALL * GLENFIELD * LEICESTER * LE3 8ST
Tel: 0116 305 0001
Email: customerservices@leics.gov.uk | Web: www.leicestershire.gov.uk

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Scheme Location/Name	Proposals	Costs (Works & Fees)	Can the scheme be achieved without land purchase?	Is it within budget available?	Can the scheme proceed without being consulted on?	From previous consultations does the scheme have wider support?	Is there a scheme design to consult on?	Can the scheme be delivered by the end of the financial year?	Is there some match funding available in the next 12 months?	Is there potential S106 funding available for this scheme?	Priority Score	Cumulative total
Lancaster Road Pedestrian Crossing improvements	Pedestrian crossing improvements	£40,000	✔	✔	✖	✔	✔	✔	✔	✖	6	£40,000
Hinckley Car Park Signing Scheme	Car Park VMS Signing	£450,000	✔	✔	✖	✔	✔	✔	✔	✖	6	£490,000
Dean Road & Dean Road West Cycle Improvements	Cycle route link	£15,000	✔	✔	✖	✔	✔	✔	✖	✖	5	£505,000
Hinckley Cycle Parking Scheme	Cycle parking	£30,000	✔	✔	✖	✔	✖	✔	✔	✖	5	£535,000
Derby Road junction with John Street Cycle Improvements	Right turn lane and pedestrian crossing refuges	£35,000	✔	✔	✖	✔	✔	✔	✖	✖	5	£570,000
Ashby Road/ Derby Road Junction Improvement	Minor signal junction improvements	£100,000	✔	✔	✖	✔	✔	✔	✖	✖	5	£670,000
Paramics modelling work	Develop modelled work for junction to assess what mitigation measures are required	£110,000	✔	✔	✔	✔	✖	✔	✖	✖	5	£780,000
Spa Lane, junction with London Road Pedestrian Crossing Improvements	Pedestrian crossing improvements	£80,000	✔	✔	✖	✖	✔	✔	✖	✖	4	£860,000
Rugby Road, (Hawley Road to Granville Road) and Coventry Road (Granville Park to Trinity Lane) Cycle Improvement	Cycle track	£255,000	✖	✔	✖	✔	✔	✔	✖	✖	4	£1,115,000
Granville Road Closure	Road closure at junction of Coventry Road	£150,000	✖	✔	✖	✔	✔	✖	✖	✖	3	£1,265,000
Hinckley Cycle Direction Signing Improvements	Cycle directional signing	£100,000	✔	✔	✖	✖	✖	✔	✖	✖	3	£1,365,000
Hinckley Direction Signing Improvements	Directional Signing Improvements	£200,000	✔	✔	✖	✖	✖	✔	✖	✖	3	£1,565,000
Brookside/Rugby Road Junction Improvement	Signal junction capacity improvements and Cycle/pedestrian crossings	£1,300,000	✔	✖	✖	✔	✔	✖	✖	✖	3	£2,865,000
Hawley Road/Rugby Road Junction Improvement	Signal junction capacity improvements and Cycle/pedestrian crossings	£1,550,000	✖	✖	✖	✔	✔	✖	✖	✖	2	£4,415,000
A47 near Dodwells roundabout Accident Reduction Scheme	Additional westbound lane	£1,300,000	✔	✖	✖	✖	✔	✖	✖	✔	3	£5,715,000
Normandy Way/ Ashby Road Junction Improvement	Signal junction capacity improvements and Cycle/pedestrian crossings	£2,100,000	✖	✖	✖	✔	✔	✖	✖	✔	3	£7,815,000
Hinckley Parking Review	Parking/ TRO review (include residents parking)	£50,000	✔	✔	✖	✖	✖	✖	✖	✖	2	£7,865,000
Hinckley 20mph Zone Extension	20mph Zone supported by Traffic Calming	£500,000	✔	✔	✖	✖	✖	✖	✖	✖	2	£8,365,000

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APPENDIX C

CONSULTATION AND RESPONSES

APPENDIX C1 - STAKEHOLDERS CONSULTED

Consultee	Response			
	Agree	Agree (mods)	Oppose	No Response
Mr. D. C. Bill C.C		1		
Mr. S. L. Bray C.C		1		
Mr. M. T. Mullaney C.C		1		
Mrs A. Wright CC		1		
Mrs. J. Richards CC				1
Leicestershire Constabulary				1
Leicestershire Fire & Rescue Service				1
East Midlands Ambulance Service				1
Leicestershire Road Safety Partnership				1
CTC				1
Burbage Parish Council	1			
Earl Shilton Town Council				1
National Farmers Union				1
SUSTRANS (3)		1		2
The Road Haulage Association				1
Freight Transport Association				1
British Motorcyclist Federation Ltd				1
Age Concern Leicestershire				1
Vista (2)				2
Hinckley & Bosworth BC (7)		1		6
Hinckley & Bosworth Ward Councillors (34)[Circulated by Hinckley & Bosworth BC]				34
	1	**6**	**0**	**56**

APPENDIX C2 - ISSUES RAISED WITH OFFICER RESPONSES

General and Other Issues

1. **Issue(s)**

   Lancaster Road crossing is a high priority and would improve safety for people who are entering or leaving The Crescent bus station.

   Officer Response(s)

   A scheme for Lancaster Road crossing is included in the package of measures for prioritising in 2017/18.

2. **Issue(s)**

   Hawley Road and Rugby Road junction improvements should have greater priority as they were bottlenecks which impeded the traffic flows into and out of Hinckley

   Office Response(s)

   The costs of improving the junctions of Hawley Road and Rugby Road cannot be met with the £800,000 available. A bid for National Productivity Infrastructure Funding (NPIF) to fund these junction improvements has already been submitted and is awaiting a decision.

3. **Issue(s)**

   The A47 approach to the A5 Dodwells Roundabout scheme and Normandy Way/Ashby Road junction improvements are important to ensuring future growth does not impede flows around Hinckley.

   Officer Response(s)

   The costs of improving the A47 approach to the A5 Dodwells roundabout and Normandy Way/Ashby Road junction cannot be met with the £800,000 available. These junctions have external funding proposals in the future. Where opportunities to accelerate the delivery of this infrastructure arises, officers will seek to maximise such opportunities.

4. **Issue(s)**

   I would have expected to see strategic fit (against overall objectives) and return on investment as the two keys measures. Given the LPT emphasis on sustainable transport I find it hard to see how a car park signing system at nearly half a million pound is the highest priority project. Zones 1-3 delivered a number of radial cycling improvements for example Coventry Road and Rugby Road. Zone 4 was supposed to connect these routes across town. I can see little evidence that there has been a coherent design to achieve this.

   Officer Response(s)

   The priority list circulated as part of the consultation has been adjusted to take into account comments made as part of the consultation process. As part of this adjustment it is intended that strategic fit (against overall objectives) and return on investment form part of the assessment.

5. **Issue(s)**
   I understand it the proposal for Granville Road would close off the junction with Coventry Road. Previously we did a similar thing with Brandon Road. Prior to doing the permanent closure, a trial was done where a plastic barrier was used for a period of several months to assess the impact. Could I suggest that the same be done here? I presume that there would be a process of a TRO.

   Officer Response(s)
   The scheme has been costed based on a trail being carried out prior to potentially making a closure permanent. The intention is to assess the impact prior to seeking a decision on whether to proceed with a permanent closure.

6. **Issue(s)**
   What protests have we made that we have received no funding for Hinckley Zone 4, Phase A (£10m)?

   Officer Response(s)
   Single Local Growth Fund monies are awarded by the Government on a competitive bidding process via the Leicester and Leicestershire Enterprise Partnership. It is normal for such bidding processes to be oversubscribed, and for choices to be made about priorities for investment. In this particular case, significant investment has previously been made in the town through Zones 1 to 3 and therefore priority has been given to investing elsewhere in the County under this Growth Deal award. The County Council continues to seek other ways to fund measures in Hinckley, however.

7. **Issue(s)**
   Can the right turn out of Tesco into Southfield Road be made safer and be done at the same time as the Hawley Road/ Rugby Road junction?

   Officer Response(s)
   Currently a programme to model traffic flows is being developed to understand the impact on other junctions in Hinckley when the proposed improvements are introduced. A request has been made to model the impact of these proposals and investigate whether they can be incorporated into the proposed improvements for Hawley Road junction.

8. **Issue(s)**
   Are there any proposals to have a 2 in 2 out right turn from/to Nutts Lane?

   Officer Response(s)
   A request had previously been received from a member of the public, asking for a change to the road markings at the above junction which would enable the creation of a short right turn lane from Nutts Lane to Coventry Road. This was investigated to establish if any improvement in junction capacity could be obtained from such proposals. It was established that it would be beneficial for the junction and help to reduce the queue length on Nutts Lane especially in the PM peak when it can back up to

the traffic lights over the canal. Investigations into the cost of these works are ongoing to find out if this could be issued as a small item of work.

9. **Issue(s)**
   Do we have details of Highways England proposals for A5? There are proposals to dual the section of the A5 between Dodwells roundabout and Longshoot?

   Officer Response(s)
   The work to develop proposals for the A5 is being managed by a multi-agency task group led by Highways England. It is understood that a number of options are being assessed and modelled. Leicestershire County Council and Hinckley and Bosworth Borough Council (HBBC) are happy to work with Highways England to provide any information and assistance required to promote improvements to this route. However, as they manage this part of the road network we are tied to their timetable for this work.

10. **Issue(s)**
    Parking across Hinckley, especially residents parking has been an ongoing issue for some time and is being exacerbated by development within Hinckley. What are the strategic proposals for taking a review of parking and residents parking forward? Councillors would want to be closely involved in any parking review.

    Officer Response(s)
    With regard to parking, and especially residents parking, Leicestershire County Council had already begun to review parking in the town centre as part of the Hinckley Area Project. In doing so there was an awareness of where the parking pressures existed and where residents have raised concerns- mainly Clarendon Road, Granville Road, Mount Road and Hurst Road. A few years ago, with third party funding from HBBC, Leicestershire County Council did look to introduce residents only parking in the Trinity Lane and Druid Street areas of the town, however the proposals were abandoned because we could not reach a consensus with local residents.

11. **Issue(s)**
    Traffic calming is not popular and this is the least popular of all the schemes within the list.

    Officer Response(s)
    Frontages affected by any scheme proposals would be consulted on the details of any proposed measures. Local Members would also be involved as stakeholders and a scheme would be unlikely to proceed if there is no consensus of support.

12. **Issue(s)**
    Congestion into and out of Hinckley is never going to be improved without the railway bridge being widened with possible pedestrian access being over the bridge and the lights at the hub being reverted back to a larger roundabout to help with flow. The Rugby Road is where focus needs to be placed in my view and the cut across Brookside.

These access Hinckley and exit to motorways and are the main rat runs. Without these basic and more fundamental changes I doubt very much whether tinkering in other areas within the town is going to do much in terms of flow/congestion. That is my view and the view of many residents in my area.

Officer Response(s)

The railway bridge is owned by Network Rail and they currently have no proposals to improve the bridge, which would enable any opportunity to widen the bridge to be taken. Until such opportunities arise, Leicestershire County Council will seek to minimise congestion in this area through improvements to the junction layout.

13. **Issue(s)**

I do not see as a priority the cycle improvements. These are only of benefit if we can encourage more to cycle and despite efforts in this regard that are continuing, there is simply not the uptake or usage of these in Hinckley and Burbage. Has there been any audit of usage? I understand that for all the right reasons this is something that is being focussed on, but residents see this as a waste of resources when we are limited in this regard and have more fundamental problems.

Officer Response(s)

The proposals focus on developing a core walking and cycling network, that include key commuter and interconnecting routes, where there is potential to encourage people to walk and cycle; however, most of these routes also form routes to schools and to community facilities such as parks etc. Less experienced and new cyclists will benefit greatly from the proposed improvements; pedestrians also benefiting from the improved footways and crossings. In Loughborough, where a similar network has been created, there has been a recorded 39.8% increase in the number of people cycling since 2012, approximately 1,300 cyclists (2013 LTP3 Performance Indicator Data). It is anticipated that monitoring user numbers will be carried out in Spring 2018 to assess the how pedestrian and cycling has changed since the project commenced.

14. **Issue(s)**

Whilst I understand the funding position and the borough indicating the need for car parking electronic signage in Hinckley, I understand that this comes at considerable costs. I personally think that this money could be far better spent in discrete issues where there are parking, safety and congestion issues.

Officer Response(s)

The proposals have been amended to focus on developing measures which add value to work carried out in zones 1, 2 and 3; can be delivered on the ground in 2017/18 and can be delivered within the £800,000 available. As a result the car parking signs are no longer considered as part of this but could be considered by HBBC as such measures could be considered part of the management of off street parking and as such be funded by revenues from off street parking.

15. **Issue(s)**

Windsor Street and Coventry Road is a pinch point with parking for residents on one side of the road with traffic for one car as a result. Unfortunately the kerb is low in that area and the result is cars driving regularly on the pathway. Residents have nearly been run over just exiting their front gate and a little girl was knocked off her bike a few weeks ago. I and residents believe this is a huge safety issue and would benefit from bollards along this stretch to mitigate.

Officer Response(s)

The issue of cars mounting the footway is a safety concern which is being looked at separately from proposed measures to be introduced as part of this package of measures.

16. **Issue(s)**

Sketchley Road runs parallel to Windsor Street and Coventry Road with parking for residents on one side of the road. However there is a single yellow line on the no parking side. This becomes problematic after hours as cars then park and it make the area congested and difficult to traverse. I understand that there is issue in terms of enforcement of double yellows, but the fact of the matter is that this would act as a far greater deterrent and encourage residents to utilise their quite large drives as opposed to taking the easy option in terms of road parking.

Officer Response(s)

The current restrictions are proposed to prevent parking during the day when demand is highest. This situation will be monitored and appropriate proposals taken forward if required.

Scheme Location/Name	Proposals	Costs (Works & Fees)	Benefit to cars	Benefit to cyclists	Benefit to pedestrians	Is it in the original report	Is there a scheme design to consult on?	Is there some match funding available?	Does the scheme have wider support	Score	Delivery possible in
Schemes to be delivered in 17/18											
Derby Road junction with John Street	Right turn lane and pedestrian crossing refuges	£55,000	✔	✔	✔	✔	✔	✘	✔	6	17/18
Various	Carry overs and remedial works including safety audit recommendations for Zones 1 to 3	£146,000	✔	✔	✔	✘	✔	✘	✔	5	17/18
Ashby Road junction with Derby Road	Minor signal junction improvements and cycling facilities	£155,000	✔	✔	✘	✔	✔	✘	✔	5	17/18
Lancaster Road	Pedestrian crossing improvements	£47,000	✘	✘	✔	✘	✔	✔	✔	4	17/18
Various (across Zones 1 - 4)	Minor Improvements which meet the objectives of the project to add value to work carried out in zones 1, 2 and 3; can be delivered on the ground in 2017/18 and can be delivered within the £800,000 available	£283,000	✘	✔	✔	✘	✘	✔	✔	4	17/18
Dean Road & Dean Road West	Cycle route link	£34,000	✘	✔	✘	✔	✔	✘	✘	3	17/18
Various (across Zones 1 - 4)	Cycle parking	£30,000	✘	✔	✘	✔	✘	✔	✘	3	17/18
Various	Micro-simulation modelling work to supporty the development of further measures identified for Zone 4	£80,000	✘	✘	✘	✘	✘	✘	✔	1	17/18

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Agenda Item 12

Leicestershire County Council

Draft HIAMP

August 2017

Leicestershire County Council's Draft Highway Infrastructure Asset Management Plan

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1 Background and Context

1.1 Introduction

The highway infrastructure asset in Leicestershire forms a critical part of the social and economic infrastructure that supports the well-being of the County's residents and businesses as well as those in the wider regions. The highway infrastructure asset is a large and diverse asset including carriageways and footways, bridges, street lighting, traffic signals and drainage. It is the County Council's greatest asset which is valued at just under £ 5.6 Billion.

Maintaining such an asset requires significant funding and many co-ordinated operations. In order to provide the best outcomes, operations must be well managed to extract the greatest value for the funding invested.

1.1.1 What is highway asset management?

The International Standard for asset management (ISO 55000) defines *asset management* as the "coordinated activity of an organization to realize value from assets". Assets are thus defined as items, things or entities that have potential or actual value to an organisation. Highway asset management is the term that is used to explain the systems and processes that affect the highway in order to deliver value.

Although asset management covers every stage of an asset's lifecycle from acquisition to disposal, this asset management plan is focussed on the management and maintenance aspects of highway infrastructure assets since this is where the majority of the County Council's highway related activities and funding are focussed.

A robust asset management plan provides answers to the following key questions:

- What assets do we have?
- What condition is it in?
- What do we want the asset to provide?
- How will we ensure that the asset provides what we want and what will it cost to achieve this?

1.1.2 The benefits of asset management

There are many benefits of asset management. The County Council sees the main benefits as:

- Making better informed decisions about investments. Decisions are made using a long-term 'whole-life' approach leading to optimum outcomes.
- Better understanding risks associated with these assets, not simply health and safety, but also financial risks, environmental risks and hazards which may affect the service it provides; for example, preventing the closure of a bridge.
- Aligning highway maintenance service provision to the County Council's objectives.
- Aligning the service or value provided by the asset to customer expectations.

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- Increasing transparency of the challenges faced and the performance of the asset as well as how we are meeting our statutory duties leading to improved customer satisfaction, stakeholder awareness and confidence.
- Establishing clear levels of service.
- Understanding the consequences of changes to investment levels.

A key benefit of an asset management approach is to move decision making away from the imminent and the urgent to a planned regime where the needs of the asset are better understood so that appropriate preventative maintenance treatments can be planned within a wider whole-life approach. This enables decisions to change from those based on a worst-first priority to those that delivers greatest value.

1.2 Purpose of this document

The County Council considers asset management to be a framework which can be applied to any of its highway assets as set out in Figure 1. This plan describes the framework within which answers to the key questions in Section 1.1.1 are provided.

The purpose of this plan and the intended audience is:

- To provide a reference for staff members of the Environment and Transport directorate and its contractors on specific aspects of highway maintenance.
- To provide a document for Council Members that assists with decisions to be made about managing and maintaining the highway asset.
- To allow members of the public to gain sufficient understanding on the challenges ahead and actions to be taken to maintain the highway.
- To better understand risk and its impacts on the asset.
- To set out the asset management requirements for the highway asset in a recognised format.

The plan also includes aspirations and milestones to be achieved in the period to 2022/23.

The document has been produced following the Highway Maintenance Efficiency Programme (HMEP) - Highway Infrastructure Asset Management Guidance Document (published May 2013). This guidance provides the basis for a consistent approach and understanding of the implementation and delivery of asset management benefits. This HIAMP explains how the County Council is adopting each of the 14 recommendations in the guidance document. In addition well-managed highways was published in October 2016, this HIAMP has been produced in accordance with the recommendations of this code of practice.

As a framework, it does not include all details of the highways service. The County Council maintains detailed operating procedures for internal use which are some of the enablers of this plan as shown in Figure 1. Communication with internal and external stakeholders is vital and information about how the County Council will communicate its activities is included. Data collection and management is also a key activity which supports all the functions on this framework and the County Council's approach to this activity is also included.

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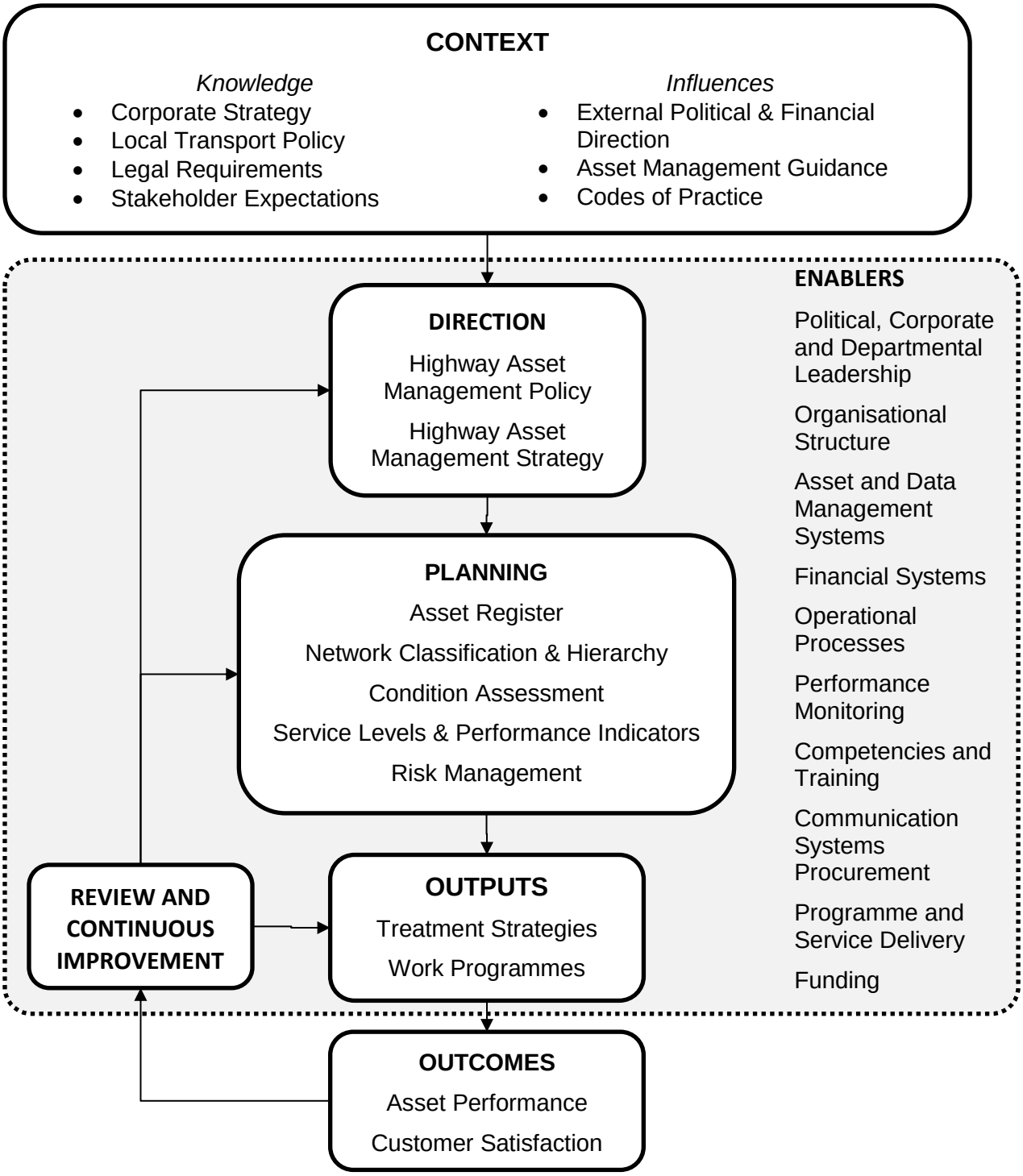
Figure 1. The Asset Management Framework



1.2.1 Supporting the corporate strategic plan

The corporate vision, set out in the Council's Strategic Plan, is "that Leicestershire is the best place to be - a place to work and prosper with a strong economy and good transport links, a place to bring up children and for families, a healthy place which supports ageing well and provides joined up health and care services for vulnerable people and a safe place with a good natural environment."

The Strategic Plan recognises that in the foreseeable future the council is facing major challenges dealing with the most difficult funding position that it has faced since World War II, with significant reductions now needed in our spending, due to budget deficit reduction requirements imposed by central government. The Strategic Plan sets out how the county council will continue to support the corporate vision through this period of austerity by focussing on five strategic priority areas. The HIAMP will directly contribute to objectives supporting three of these strategic priorities.

Strategic Priority	**The highway infrastructure asset management plan supports this by:**
Leadership and Transformation	Recognising the need to change the way that we deliver services.
Enabling Economic Growth	Developing the asset management approach in order to make better informed strategic decisions and to ensure that the best use of resources is made.
Safer Communities – A Better Environment/Place	This asset management approach will support the development of an analytical "risk-based" approach to asset management to ensure that, within the constraints of reducing budgets, treatments will be more effectively directed to optimise the condition of the network.

1.2.2 Supporting the Local Transport Plan (LTP3)

The Local Transport Plan (2011-2026) defines a long-term vision for Leicestershire's transport system as:

"Leicestershire to be recognised as a place that has, with the help of its residents and businesses, a first class transport system that enables economic and social travel in ways that improve people's health, safety and prosperity, as well as their environment and their quality of life."

The following priorities in the LTP are supported by the HIAMP.

LTP Priority	**The highway asset management infrastructure plan supports this by:**
Our transport system provides more consistent, predictable and reliable journey times for the	The provision of an up-to-date local road hierarchy which more appropriately reflects stakeholder expectations, levels of use and strategic importance.

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movement of people and goods	
Our transport system and its assets are effectively managed and well maintained	Deploying a formalised asset management approach to ensure the optimal use and direction of the county council's resources in maintaining the county's highway assets for the benefit of current and future stakeholders.
Our transport system is resilient to the impacts of climate change	Adopting a resilient network and using this network to influence the way we make decisions about the asset.
The negative impact of our transport system on the environment and individuals is reduced	Prioritising maintenance interventions and treatment choices using a risk-based approach. Seeking to maximise the serviceable life of assets and therefore reduce the frequency of asset renewals. Acknowledging that Environmental assets contribute significant amenity value to stakeholders.
More people walk, cycle and use public transport as part of their daily journeys, including to access key services	The provision of an up-to-date network hierarchy for carriageways, footways and cycleways that more appropriately reflects stakeholder expectations, levels of use and strategic importance. Defining an inventory of cycle routes that will allow the county council to better understand the value of this asset.
The number of road casualties is reduced	Prioritising maintenance interventions and treatment choices using a risk-based approach.
There is improved satisfaction with the transport system amongst both users and residents	Developing a new reporting approach to ensure that those areas where our surveys of customer satisfaction demonstrate inadequate satisfaction are carefully considered.
The natural environment can be accessed easily and efficiently, particularly by bike or on foot	The application of up-to-date footway and cycleway hierarchies with associated treatment strategies.

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1.2.3 Supporting the Environment & Transport Commissioning Strategy

The County Council recognises the significant challenge that it faces in delivering services against a background of austerity measures. The Medium Term Financial Strategy (MTFS) sets out this challenge and identifies where the council intends to deliver efficiencies and savings in the medium term. To help support these changes the council has developed a Corporate Commissioning and Procurement Strategy which was introduced in 2014/15. The Environment and Transport department is developing a Commissioning Strategy, adopting the principles set out in the Corporate Strategy to ensure that services as a whole remain fit-for-purpose and that decisions about service delivery are evidence based and that the implications

of any changes in service delivery are understood and appreciated. This HIAMP supports the Environment & Transport Commissioning Strategy by setting out an evidence based approach for commissioning appropriate work programmes that will meet the management and maintenance needs of the highway infrastructure asset.

1.3 What are the highway assets?

The assets covered by this HIAMP have been divided into asset groups. The key asset groups are carriageways, footways and cycleways, structures, street lighting, traffic signals and drainage; these comprise the majority of our asset by asset value. There are a number of other assets which are also covered by aspects of this plan; these have been grouped under street furniture and soft estate. Summary information about the assets in our Asset Registers is given in Table 1.

Table 1.Our highway assets

Asset Group	Asset Type	Quantity	
Carriageway	A Roads	353	km
	B Roads	230	km
	C Roads	1,297	km
	Unclassified Roads	2,349	km
	Total	4,229	km
Footways and Cycle ways	Primary Walking Routes	60	km
	Secondary Walking Routes	222	km
	Link Footways	705	km
	Local Access Footways	2,621	km
	Total	3,608	km
	Cycle lane forming part of the carriageway	TBC	km
	Cycle track, a highway route for cyclists not contiguous with the public footway or carriageway	TBC	km
	Cycle trails, leisure routes through open spaces.	TBC	km
	Total	TBC	km
Structures	Bridges	545	No.
	Culverts	139	No.
	Subways	15	No.
	Retaining Walls	108	No.
	Gantries	9	No.
Street Lighting	Street Lights	67,365	No.
	Illuminated Signs and Bollards	10,687	No.
	Subway Units	270	No.
Traffic Management	Signalised Junctions	404	No.
	Zebra Crossings	112	No.
	Pelican Crossings	372	No.
	Puffin Crossings	3	No.

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	Toucan Crossings	125	No.
	School Flashing Units	82	No.
	Vehicle Activated Signs	377	No.
Drainage	Gullies	133,228	No.
	Grips	38,060	No.
	Linear drainage channels also drainage connections, soakaways, Sustainable Urban Drainage Systems (SUDS) in the highway and attenuation assets	2,133	No.
Street Furniture	Non-Illuminated Signs	70,959	No.
	Non-Illuminated Bollards	996	No.
	Grit Bins	751	No.
	Cattle Grids	50	No.
	Vehicle Restraint Systems	1,005	No.
	Weather Stations	6	No.
Soft Estate	Trees, verges, visibility splays and hedgerows		

Assets on the Public Rights of Way (PROW) network are not included in this plan bur are covered in the Rights of Way Improvement Plan.

With a small number of exceptions, the following assets are typically managed by other organisations although they may be within the highway

- Park and Ride sites -
- Car Parks
- Bus Shelters
- Street name plates
- Assets managed by Highways England
- Car Parking Assets including Pay & Display machines

1.4 The value of the asset

The highway infrastructure assets in Leicestershire have been valued in accordance with Whole of Government Accounting (WGA) principles. WGA values the asset based on a replacement with a modern equivalent asset rather than on an historical cost basis. The investment that would be required to completely replace the asset with an ‘as new’ modern asset is called Gross Replacement Cost (GRC). An assessment of the deterioration in the asset is also used to calculate an amount of depreciation and, by deduction from the GRC, the current value of the asset or Depreciated Replacement Cost (DRC) is obtained. Acquiring assets and disposing of assets will affect both GRC and DRC while maintenance activity on existing assets will affect only the DRC.

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Table 2. Summary table of the WGA asset valuation

Asset	Gross Replacement Cost (GRC) £ ,000's	Depreciation £ ,000's	Depreciated Replacement Cost (DRC) £ ,000's
Carriageway	4,581,006	134,626	4,446,380
Footways + Cycle ways	508,981	4,678	504,303
Structures	377,653	183,098	194,555
Street Lighting	85,337	38,402	46,935
Traffic management	10,942	5,400	5,542
Street furniture	34,358	10,307	24,051
Total	5,598,277	376,511	5,221,766

In Leicestershire, the Gross Replacement Cost of highway infrastructure assets (excluding land) was valued at just under £5.6 billion; currently the value of these assets has been calculated at just over £5.2 billion.

1.5 Legal requirements

The County Council has many statutory duties which are set out in legislation. For the purpose of this document, the principal duties are:

- As a highway authority, the County Council must maintain highways maintainable at public expense. Section 41 of the Highways Act (1980).
- As a local traffic authority, the County Council must manage the road network to secure the expeditious movement of traffic on its own network and to facilitate the expeditious movement of traffic on other road networks. Section 16 of the Traffic Management Act (2004).

These statutory duties must be fulfilled above and beyond the objectives of this HIAMP.

1.6 Asset management goals

A number of statements about asset management and supporting principles have been set out in the Highway Asset Management Policy. These have been interpreted for this document as our asset management goals and a set of actions to achieve these goals.

Our Asset Management goals are to:

- Ensure the optimal use and direction of the Council's resources in maintaining the county's highway infrastructure assets for the benefit of current and future stakeholders
- Take account of the safety of stakeholders, customer expectations, network hierarchy, levels of use, network condition, environmental impact and the available resources to prioritise maintenance interventions and treatment choices.

To achieve these goals, we will:

- Adopt an asset management approach.
- Consult with stakeholders.
- Use preventative and restorative treatments in the right place and at the right time.
- Make informed decisions supported by life cycle analysis.
- Develop programmes of work for all key assets.
- Rationalise our assets by removing redundant and low value items.
- Develop our processes to focus on how our assets can be improved to encourage sustainable travel.
- Account for the environmental impact of our work.
- Improve our decision making through the adoption of a resilient network.
- Endeavour to maintain our winter service networks.
- Collaborate with others.
- Continue to review and challenge our approach.

Our asset management approach is set out as a generic system in Figure 2. This system shows that the use of data is fundamental and develops into greater understanding throughout the cycle. The items in this system are covered in the relevant sections throughout this HIAMP.

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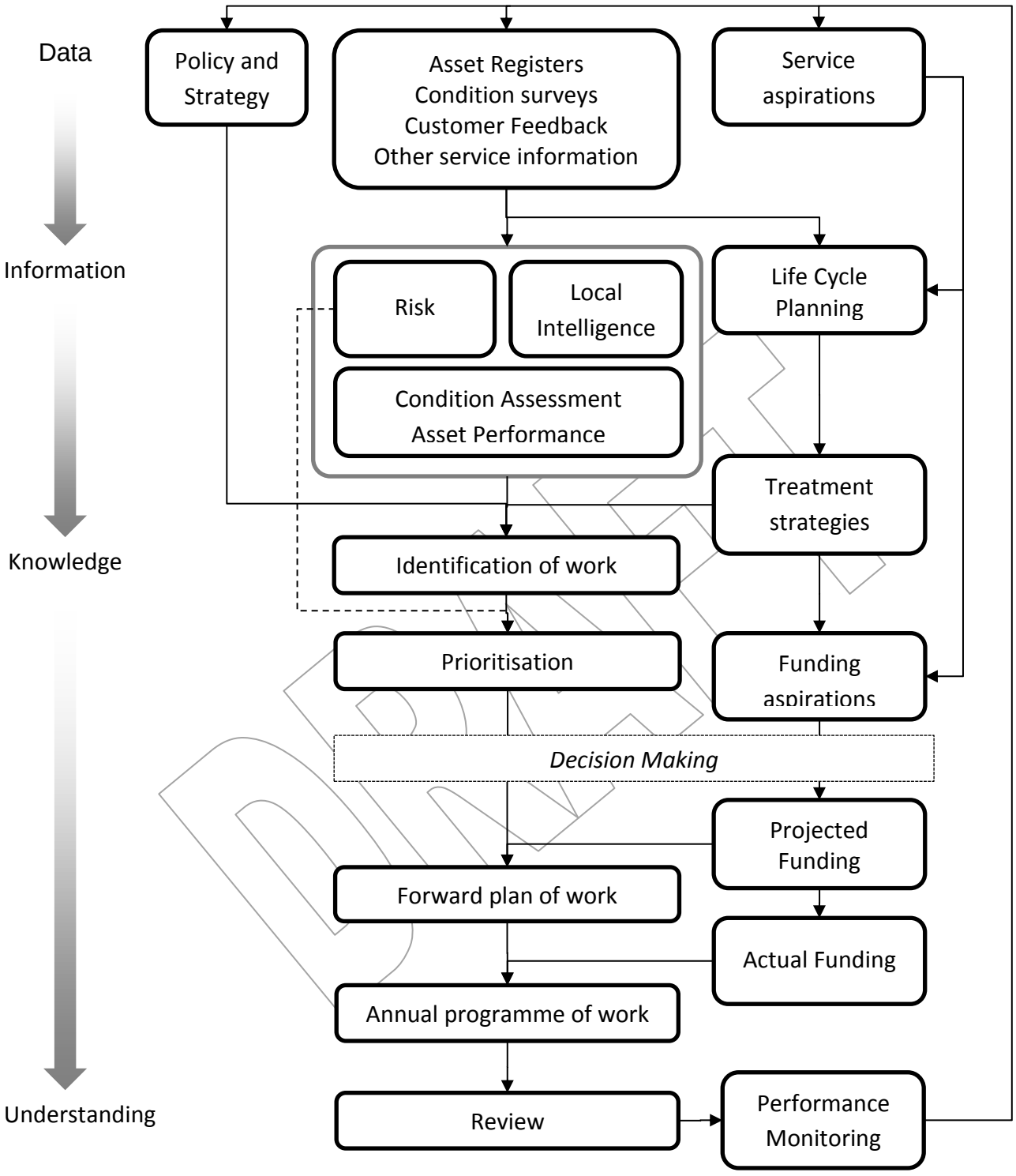
Figure 2. The generic asset management system



2 Current state of assets and how we measure our performance

2.1 Historical investment summary

Funding for the highway infrastructure is in the form of either capital or revenue and can come from a variety of sources.

Capital investment must be spent on acquiring assets or structural maintenance. Capital expenditure adds to the value of the asset rather than just maintains it. Capital investment comes from the central government via the road maintenance grant and the local transport grant as well as discretionary grants such as the incentive fund scheme and the challenge fund. Capital investment can also be raised from within the Council through prudential borrowing, raising capital receipts or by directing revenue funding to capital use.

Revenue funding is typically spent on all other areas that support the operation of the highway infrastructure such as routine maintenance, for example grass cutting and energy for street lighting. Revenue expenditure covers day to day expenditure which maintains, rather than enhances, the value of the asset. Revenue funding comes from the central government revenue support grant and locally raised revenue such as council tax and business rates.

Figure 3 provides an overview of recent expenditure on the highway infrastructure asset.

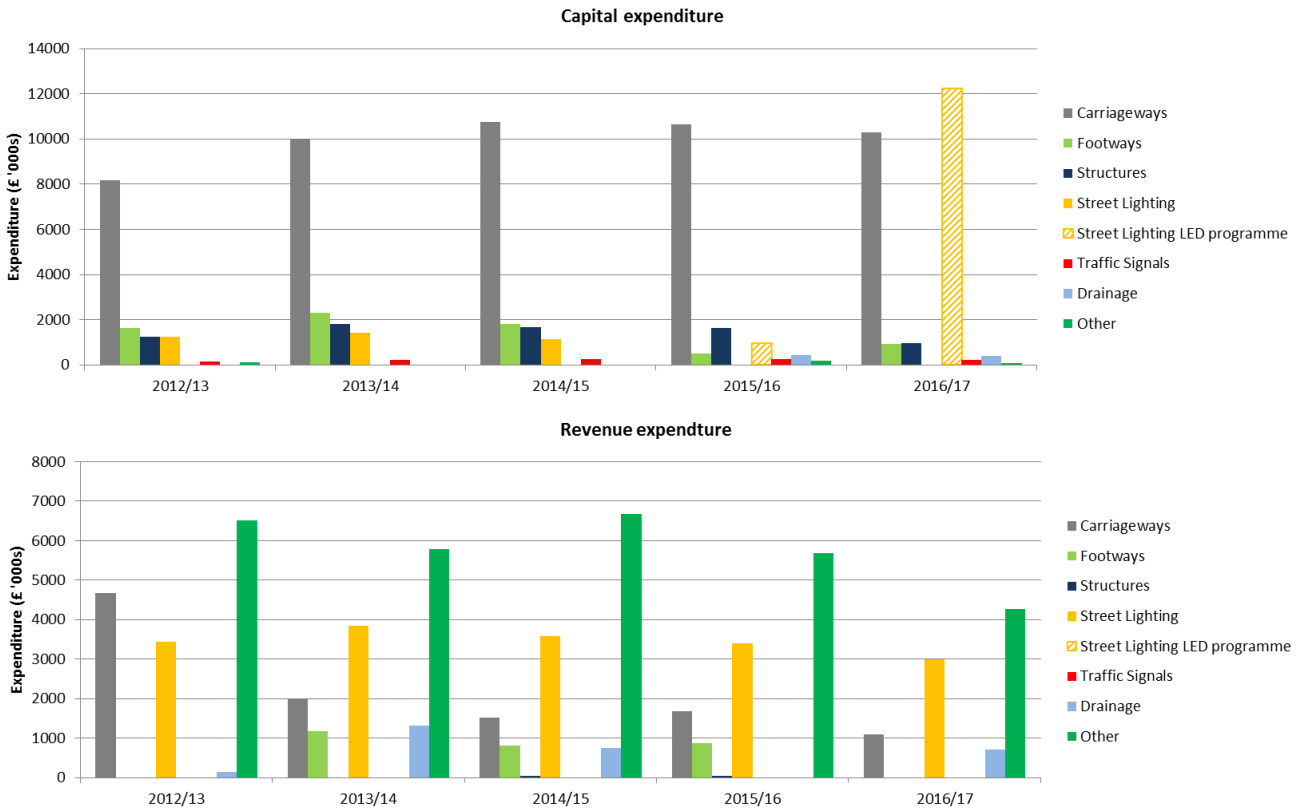


Figure 3. Recent expenditure on the highway infrastructure asset

2.2 Network hierarchies

A network hierarchy based on the function of the road is a foundation of our asset management approach for carriageway, footway and cycleway assets and enables risk-based maintenance strategies to be formed. The Council has defined a local network hierarchy as recommended by the Code of Practice “Well Managed Highway Infrastructure” and this is presented in Tables 3 and 4.

The network can be presented in different ways according to different needs, for example:

- Road Classification is still used for the collection and presentation of carriageway condition data. Although this does not precisely reflect the road network hierarchy, it is produced due to statutory reporting requirements.
- A Resilient Network is defined as to receive priority over other hierarchies to ensure economic activity and access to key services during disruptive events.
- A Winter Service Network is defined to manage which part of the network gritting treatment is needed during the winter.
- Traffic Sensitive Network is defined to support network management activities.

The network hierarchy has been formed in order to most appropriately represent the type and use of roads in the county. The hierarchies in the Code of Practice have been used as a basis with the following key amendments:

- Leicestershire is centrally located and its network provides key strategic transport links in the region. Strategic Routes have been separated into Major Routes and Other Routes. Major Strategic Routes play the biggest role in local and regional economies.
- It is recognised that the utility of rural roads is different to that of urban roads. For example, minor urban roads provide a greater level of amenity value than minor rural roads and are usually engineered with higher quality kerbing and increased drainage.
- Field roads, divorced laybys, redundant footways and defined un-metalled footways have been added to the hierarchy as part of our risk based approach so that a specific maintenance regime can be defined for these assets.

Within these hierarchies, either an urban or rural locality is a key factor used to classify the asset. These localities are defined in this HIAMP as:

- A carriageway or footway in an urban locality will typically have a high density of properties with frontages. The road will typically have restrictions in the form of a traffic regulation order, road markings and signage, have positive drainage, street lighting and have kerbs and footway provision. Footways will be constructed to a high specification with a likelihood of vehicle over-run and there will be dedicated vehicle accesses. Speed limits are typically 40mph or less. A residential road or footway with these properties in a rural village could be classified as an urban locality.

- A carriageway or footway in a rural locality will typically have a low density of properties with frontages. The road will typically have no restrictions in the form of traffic regulation orders, and will have limited highway infrastructure in place in terms of drainage, street lighting and footway provision. Speed limits are typically in excess of 40 mph. Footways

will be constructed to a lower specification than in urban localities due to low likelihood of vehicle over-run with dedicated vehicle accesses.

The network hierarchy has been defined in order to optimise both the safety inspection regime but also the highway maintenance strategy using a risk-based approach. The County Council recognises that due to the function of the asset and customer expectation, different maintenance approaches can be taken to optimise resources. It would be expected that the surface of a high-speed strategic route is maintained to a higher standard than a rural country lane; the user of the latter should drive at a lower speed than on a strategic route as they would reasonably expect a lower ride quality, some surface imperfections and potentially to encounter other road users in the centre of the carriageway. Likewise, pedestrians using a Defined Un-metalled Footpath would be expected to exercise more care than in Primary Walking Zones as the maintenance of these assets would be appropriate to their level of use.

Table 3. Carriageway hierarchy

Category	Detailed Description
Major Strategic Routes (1)	Routes for fast moving long distance traffic with little frontage access or pedestrian traffic. Most likely in rural localities and where there are few junctions. Pedestrian crossings are either segregated or controlled and parked vehicles are generally prohibited. These routes play the biggest role in local and regional economies and connect the greatest number of places.
Strategic Urban Routes (2U)	Routes in urban localities for long distance traffic typically comprising Primary 'A' roads; pedestrian crossings are either segregated or controlled and parked vehicles are generally prohibited.
Strategic Rural Routes (2R)	Routes in rural localities for long distance traffic typically comprising Primary 'A' roads. There are few junctions. Pedestrian crossings are either segregated or controlled and parked vehicles are generally prohibited.
Urban Main Distributor Roads (3AU)	Routes in urban localities between Strategic Routes and linking urban centres to the strategic network with limited frontage access. They will usually have a speed limit of 40mph or less. Parking is likely to be restricted at peak times and there are positive measures for pedestrian safety. The routes may comprise 'A' roads and heavily trafficked 'B' Roads (greater than 30,000 vehicles and 1,500 HGVs per day).
Rural Main Distributor Roads (3AR)	Routes in rural localities between Strategic Routes and linking urban centres to the strategic network carrying short to medium distance traffic. The routes typically comprise 'A' roads and heavily trafficked 'B' Roads (greater than 12,000 vehicles and 1,000 HGVs per day).

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Category	Detailed Description
Urban Secondary Distributor Roads (3BU)	In urban localities, these roads have a speed limit of 30 mph or less and very high levels of pedestrian activity with some crossing facilities including zebra crossings. On-street parking is generally unrestricted except for safety reasons. They carry local traffic with frontage access and frequent junctions. The routes typically comprise 'B' roads and heavily trafficked 'C' roads (greater than 20,000 vehicles and 300 HGVs per day) and some unclassified carrying bus routes.
Rural Secondary Distributor Roads (3BR)	In rural localities, these roads link the larger villages and HGV generators to the Strategic and Main Distributor Network. The routes typically comprise 'B' roads and heavily trafficked 'C' roads (greater than 5,000 vehicles and 100 HGVs per day).
Urban Link Roads (4AU)	These roads in urban localities are residential or industrial interconnecting roads with speed limit of 30 mph or less, random pedestrian movements and uncontrolled parking. They will have frequent junctions and frontages. The routes typically comprise 'C' roads and heavily trafficked unclassified roads (greater than 15,000 vehicles and 150 HGVs per day).
Rural Link Roads (4AR)	These roads in rural localities are of varying width and not always capable of carrying two-way traffic. The routes typically comprise 'C' roads and heavily trafficked unclassified roads (greater than 5,000 vehicles and 100 HGVs per day).
Urban Local Access Roads (4BU)	Residential or industrial interconnecting roads with 20 or 30 mph speed limits; random pedestrian movements and uncontrolled parking
Rural Local Access Roads (4BR)	These roads serve small settlements and provide access to individual properties and land. They are often only single lane width and unsuitable for HGVs.
Field Roads (5F)	A highway associated with occasional use and its use is not limited to a specific class of traffic. These roads exist because they have been defined historically. They may be un-metalled but are not legally defined as byways open to all traffic (BOAT's).
Laybys divorced from the carriageway (5L)	A paved area for vehicles to stop safely which is separated from the main carriageway by a verge or embankment; the road surface is not fully visible from the main carriageway.

Table 4: Footway and Cycleway hierarchy

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Category	Detailed Description
Prestige Walking Zones (1A)	Very busy areas of towns with a concentration of public spaces and a high street scene contribution; these zones will carry high levels of pedestrian footfall and will have an important role in respect to socio-economic value to the local and wider environs.
Primary Walking Zones (1B)	Primary walking zones form busy urban shopping and business areas whilst also forming main pedestrian routes and links. The primary walking zones will carry high levels of pedestrian footfall and will have a role in respect to socio-economic value to the local and wider environs.
Secondary Walking Zones (2)	Medium usage routes through local areas feeding into the designated primary routes; local shopping areas and other areas of specific local interest creating significant footfall.
Urban Link Footways (3U)	Linking local access footways through an urban locality, residential estates and routes with low pedestrian usage.
Rural Link Footways (3R)	Busier footways in a rural locality.
Local Access Footways (4U)	The local access footway network consists of cul-de-sacs and short estate roads in an urban locality which will form links to the main route through a residential area.
Minor Footways (4R)	Minor footways such as those in little used rural localities serving very limited numbers of properties; they may be contiguous with the carriageway or remote with verges or embankments between the footway and the carriageway.
Defined Un-metalled Footpath (5)	A minor footpath linking footways at either end and which is clearly marked on the definitive footpath network and where footfall is actively encouraged. No formal pavement construction exists. The footpath may have historically crossed open countryside, however due to development of the surrounding environs the existing footpath is retained through housing developments. Footfall will be dependent on the demographic and extent of development to which it serves therefore any inspection frequencies should be based on the higher level of the footway inspection regime at either end to which it is linked.
Residual Footways (6)	These footways are associated with occasional use and are currently providing little value to the overall highway network. The demand will have changed from initial construction and now strategically does not serve any useful function. These footways may be situated in either an urban or rural locality.

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Category	Detailed Description
Primary Cycle Way (1)	Cycle ways associated with high usage particularly by commuters linking key settlements and areas of high business, leisure and residential development, forming part of the carriageway or as a dedicated cycle route. Typically forming part of a wider cycling network, they will benefit from signage and improved road markings. A Primary Cycle Way may be segregated, designated by a white line or undesignated with cycles sharing the space with other highway users.
Secondary Cycle Way (2)	Cycle ways forming part of the carriageway for general use; cyclists share the space with other highways users with some cycle provision aided by the placement of signage to promote the use and indicate to other road users the presence of cyclists.
Cycle Tracks (3)	A highway route for cyclists that is not contiguous with the carriageway; it will be an undesignated space with some cycle provision, for example a small amount of signage, typically a shared cycle / pedestrian path either segregated by a while line or other physical segregation; or equally may be unsegregated. The cycle tracks will be associated with low usage and predominantly, but not solely, used for leisure rather than commuter links.
Cycle Trails (4)	Cycle trails will follow routes though open space and will not necessarily be the responsibility of the Highway Authority but maintained by the authority under local agreements, other powers or duties.

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2.3 Condition assessment and asset performance

The performance of our assets is assessed using a range of inspections. Each type of inspection has a particular function or objective that collectively ensures that the County Council understands the performance provided by the asset.

2.3.1 Safety inspections

Safety inspections are carried out to identify defects on highway assets which may present a hazard to the highway user or that will affect the future performance of the asset. They are a visual survey which is carried out by a competent condition technician who identifies the hazard, assesses the risk and the nature and priority of the response. These surveys/inspections can be carried out from a slow moving vehicle, on foot or on a bike as appropriate. Safety inspections are routinely conducted on carriageways, footways and cycleways; however the scope of the inspection includes any asset which is presenting a hazard. Where hazards are present on assets managed by 3rd parties, the County Council will follow the relevant procedures to inform the 3rd party and ensure that the defect is resolved

The County Council undertakes safety inspections of the highway according to a risk-based approach. The frequency of inspection and the response to defects is determined by the risk presented to highway users. The method for undertaking safety inspections and dealing with defects is set out in our safety inspection operating procedure (Highway Inspection Operational Manual).

2.3.2 Service inspections

Service inspections are undertaken to assess whether the asset is providing the appropriate level of service. The most common inspections of this type are street works inspections which allow the Council to take enforcement action under the Traffic Management Act 2004 if works by a third party have not been carried out to the required standard. Other types of service inspections can include night scouting to determine the correct functioning of highway lighting and retro-reflectometry surveys to check the night-time performance of lining and signs.

2.3.3 Condition surveys

Condition surveys are undertaken to understand the current performance of the asset and identify future asset management risks. The approach taken will depend on the type of asset and the function upon which information about current and future performance is being sought. Currently the approach to condition surveys is as shown in Table 5

Table 5. Summary of asset condition surveys

Asset type	Survey Type	Scope	Performance assessed
Carriageways	SCANNER	A, B and C class roads	Surface condition
	CVI	Unclassified Roads	Surface condition
	Grip Tester	A & B Class roads plus other secondary distributor roads	Surface friction
Footways	FNS	All footways	Surface condition
Structures	BCI	All bridge spans >= 1.5m	Structural and functional condition
Lighting	CoP	All columns beyond action age	Risk of structural failure

Note. The structural condition of carriageways and footways is derived from an assessment of the surface condition.

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Detail on the survey types is given below:

SCANNER A traffic speed survey which measures many properties of the road surface including texture, rutting, roughness and cracking.

Grip Tester A traffic speed survey that measures the friction properties of the surface using a braked wheel towed behind the survey vehicle.

FNS Footway Network Survey is a walked visual inspection that grades the deterioration and extent of deterioration from 'as-new' to 'structurally impaired'.

BCI A system developed by the County Surveyors Society (now ADEPT) to generate a Bridge Condition Indicator based on the condition of individual elements of the bridge.

CoP As defined in the current Code of Practice "Well Managed Highway Infrastructure".

2.3.4 Classification of asset condition

The levels of service table, in Section 3.3, include a number of condition grades. These grades have been adopted to enable the levels of service to be communicated to all stakeholders. The grades also allow for a comparison of condition across the asset groups. The grades are a representation of technical performance the classification of which is provided below

Table 6

	Excellent	**Good**	**Average**	**Poor**
Condition of A class roads - The percentage of principal roads where maintenance should be considered.	<3%	3% - 5%	6% - 10%	>10%
Condition of B and C class roads - The percentage of non-principal classified roads where maintenance should be considered.	<6%	6% - 10%	11% - 14%	>14%
Condition of minor roads - The percentage of unclassified roads where maintenance should be considered	<10%	10% - 15%	16% - 20%	>20%
Condition of footways - The percentage of the surveyed length of footway that is Structurally Unsound or	<10%	10% - 15%	16% - 20%	>20%

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Functionally Impaired.				
Condition of bridges - **The percentage of bridge spans with a BCIcrit score of less than 75.**	<6%	6%-10%	11% - 20%	>20%
Condition of street lighting - **The percentage of street lighting columns which have undergone structural testing and have failed the test.**	< 1in 5000	< 1 in 1000	1 in 200	> 1 in 200
Condition of traffic signals - **The percentage of traffic signal sites greater than 20 years old.**	<2%	2-4%	>4% - 8%	>8%

The grades have been defined from national guidance regional best practice or local knowledge where available.

2.4 The condition of our assets

The condition of the key asset groups is summarised in the charts shown in below. These condition measures support the levels of service as defined in Section 3.3.

No condition data is available for the drainage asset so the number of customer service requests for drainage is presented as a proxy measure.

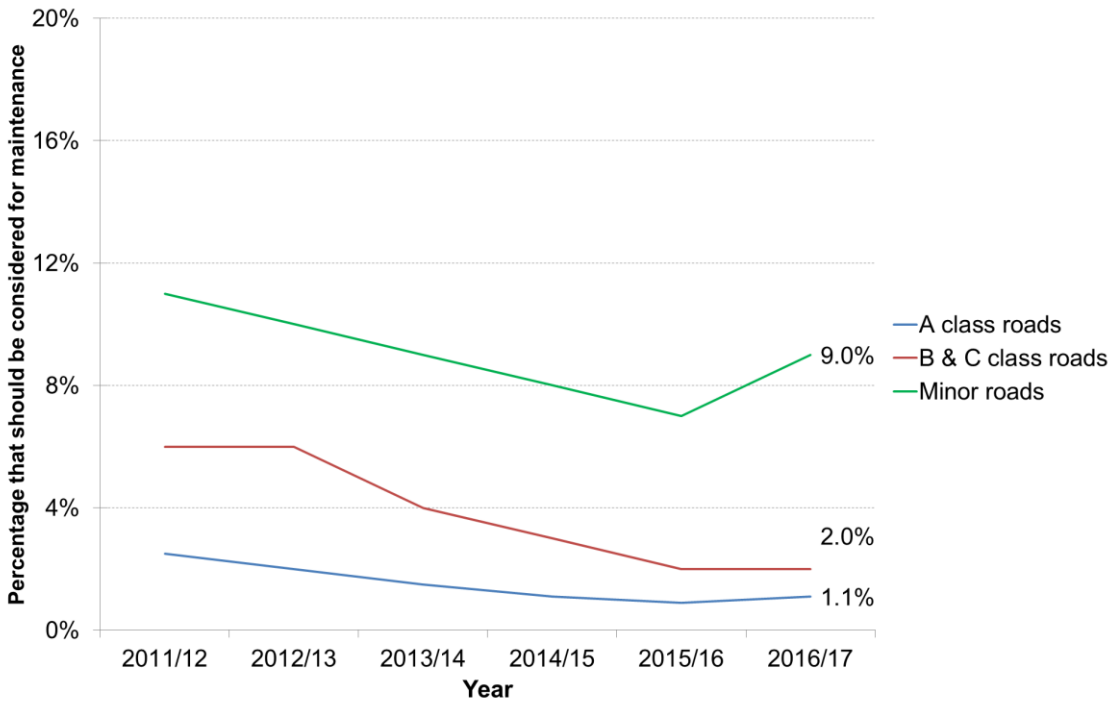


Figure 4A: The condition of carriageways

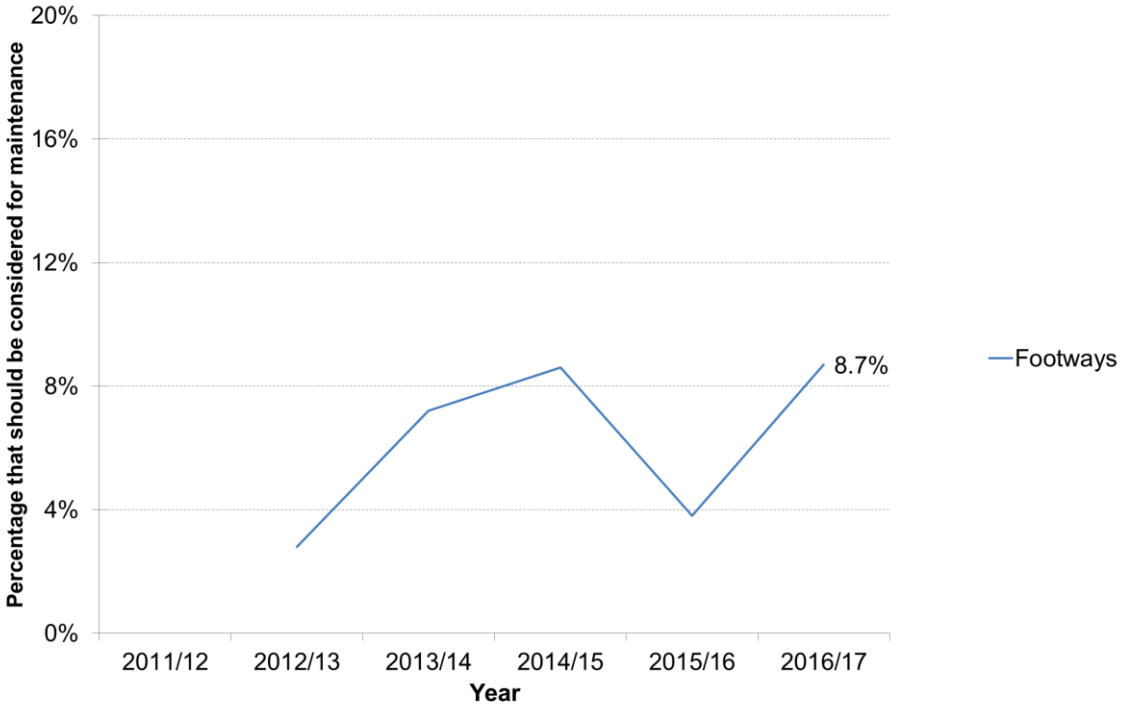


Figure 4B: The condition of footways

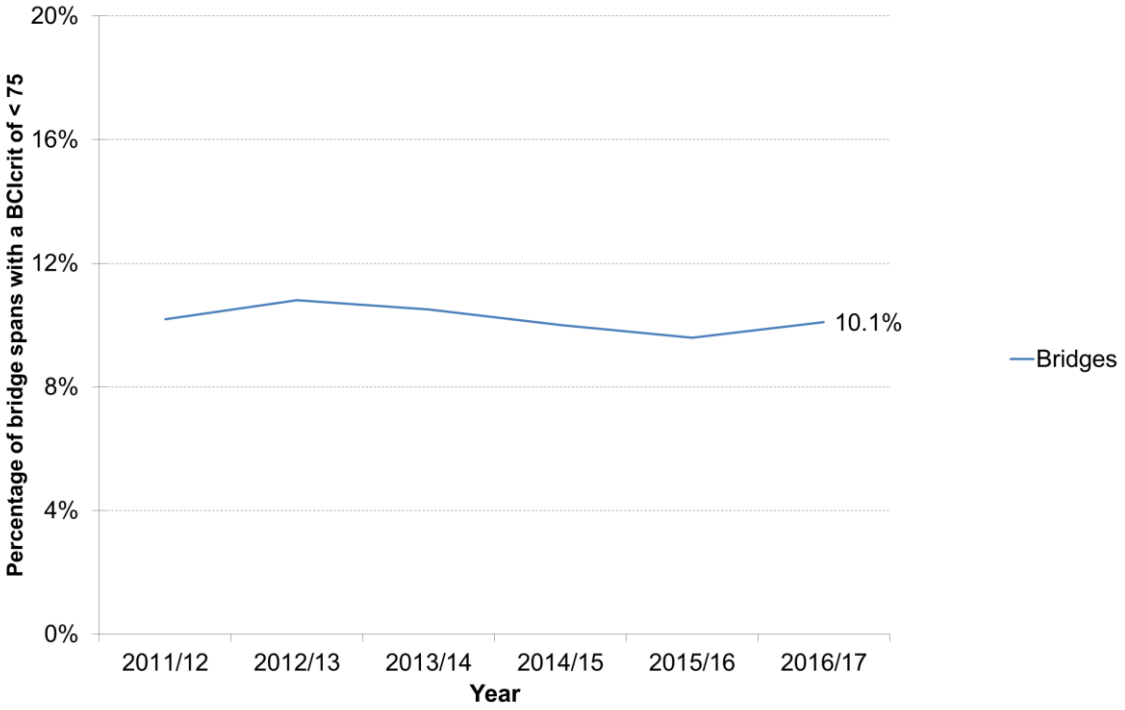


Figure 4C: The condition of bridges

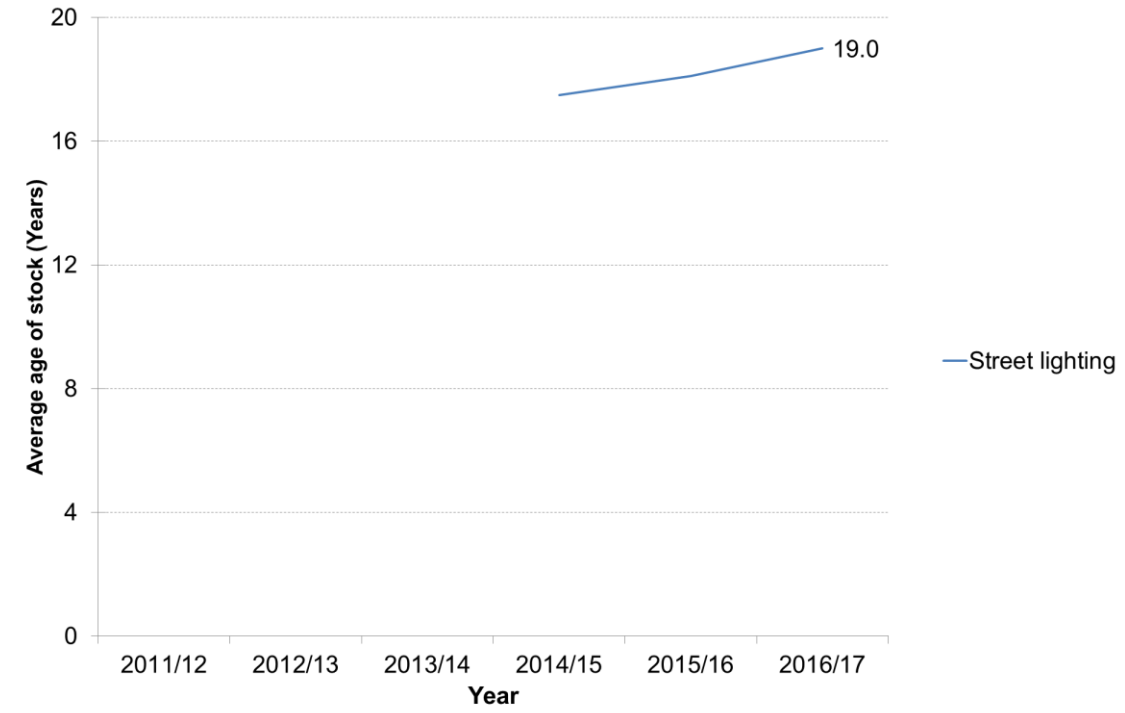


Figure 4D: The condition of street lighting

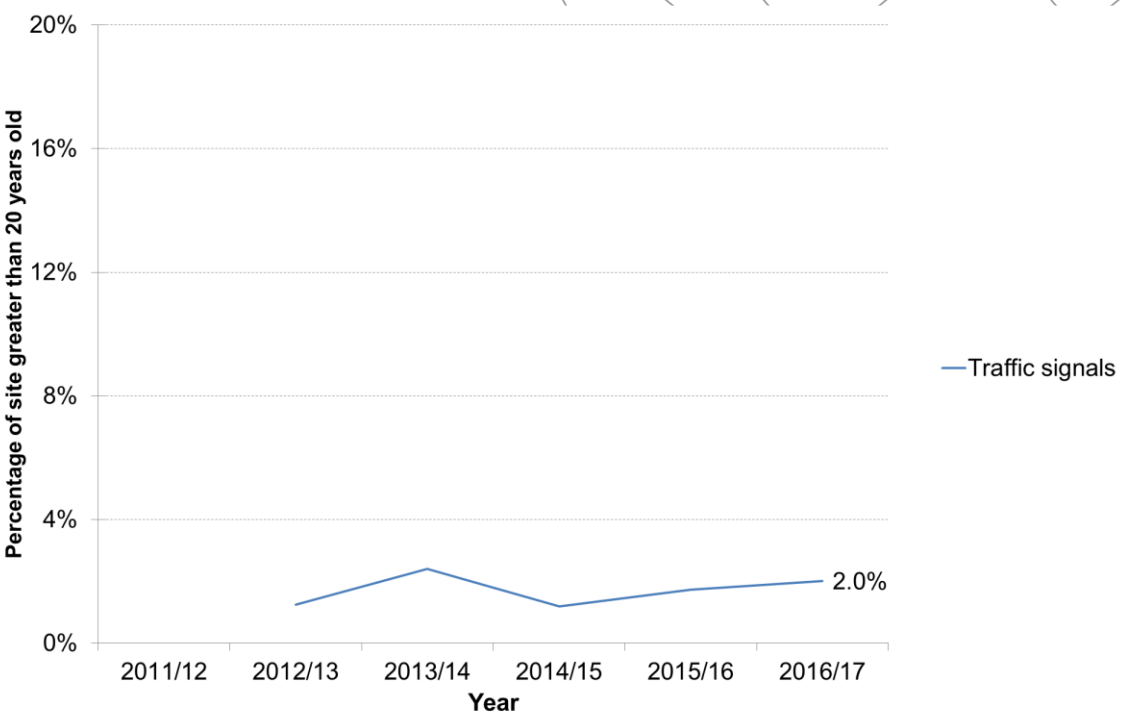


Figure 4E: The condition of traffic signals

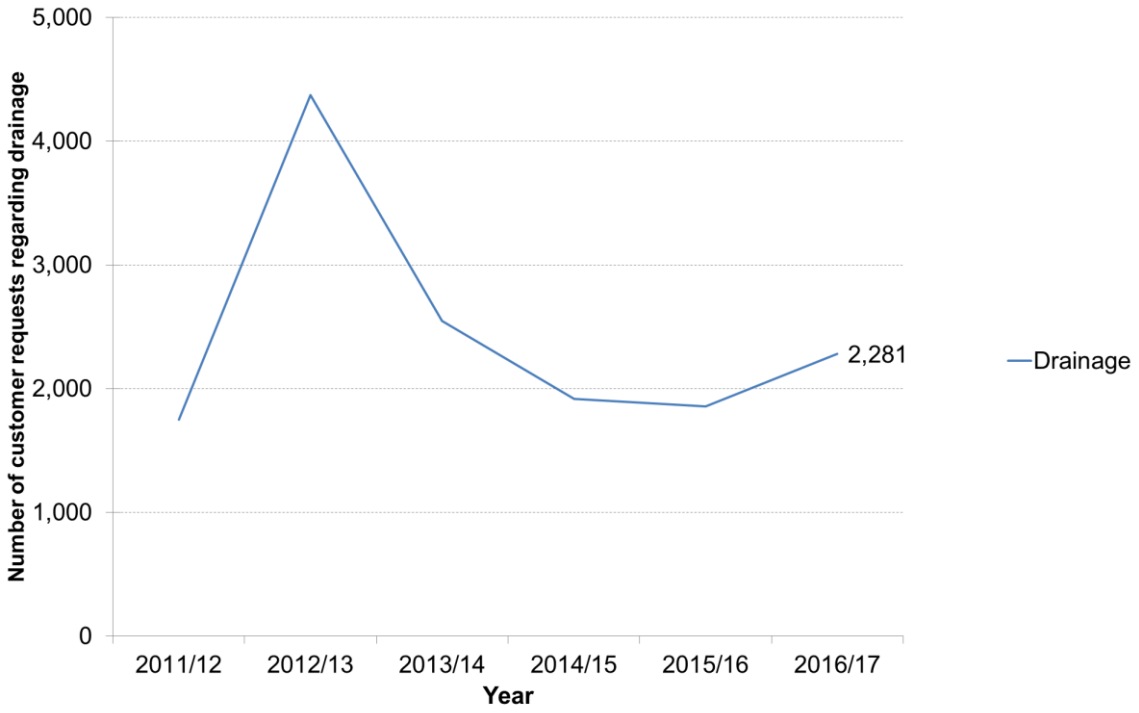


Figure 4F. The condition of drainage

3 Service Aspirations

3.1 Stakeholder expectations

The Council monitors stakeholder expectations using the National Highways and Transport (NHT) customer satisfaction survey and through *ad-hoc* consultation exercises as shown in Table 6.

As part of the development of the Highway Asset Management Policy and Highway Asset Management Strategy, an extensive consultation exercise was undertaken with local borough, town and parish councils in which stakeholders were asked about the importance of a range of asset types, their maintenance and their importance. The County Council participates in the NHT customer satisfaction survey each year and the outcomes of this survey are used to inform asset management planning. As well as assessing the levels of customer satisfaction the survey asks customers about what levels of service are (or not) acceptable to reduce, these responses indicate a priority for our stakeholders. This is of particular relevance to this plan in the context of dealing with the challenge set out in the MTFS

Table 7. Overview of feedback obtained from stakeholder consultations

Source	Feedback	Priorities (in order)
Policy	How to prioritise investment	Cost of ad-hoc repairs if not maintained

Consultation		regularly
		Risk to safety if not maintained regularly
		Impact on users if not maintained regularly
		Amount of use/wear received
	Where to focus resources	Rural roads – high use
		Urban roads – high use
		Rural roads – average use
		Town centre/shopping area pavements
	Assets to retain	Road markings
		Fencing and pedestrian railings
	Service to be retained	Winter gritting (lower priority roads)
	Importance to maintain	Roadside drains, gullies and culverts
		Roads
		Pavements
NHT	Level of service to be retained (not acceptable to reduce)	Roads
		Gullies & drains
		Gritting and snow clearance
		Pavements

Table 7 provides an overview of stakeholder priorities as determined from these two recent exercises. The feedback reveals the following expectations in terms of priorities. Stakeholders expect that the Council:

- Prioritises funding to manage the safety risk to road users and to limit the cost of reactive work.
- Focuses its resources on more highly used parts of the network while acknowledging the value provided by other parts of the network.
- Preserves its approach to winter service across the whole network.
- Maintains roads, highway drainage and pavements as a priority.

The expectation that funding is prioritised to limit the cost of reactive work is supported by the asset management goal of ensuring the optimal use of resources. Furthermore the expectation that funding is also prioritised to manage safety risks to highway users is a key function of the highways maintenance service as it is a duty for the Highway Authority under the Highway Act (1980) and it now a key recommendation of the current Code of Practice (Well-Managed Highways). The expectation that resources should be focussed on highly used parts of the network is supported by the asset management goal to “take account of … levels of use … to prioritise maintenance treatments and treatment choices”.

Winter service is important to stakeholders and this is reflected in the priorities from both sources of feedback. The maintenance of roads, highway drainage and pavements were similarly highlighted in both sources of feedback indicating a strong and consistent expectation about the service to be provided on these assets.

These priorities are acknowledged in this HIAMP and will be considered as the asset management plan is deployed.

3.2 Life cycle planning

In order to appraise the viability asset aspirations in the future, life cycle planning is used.

Life cycle planning is the broad method that enables us to model the future consequences of investments in our assets.

A life cycle plan for a stock of assets can be formed into a process as shown in Figure 5. The Define Requirements stage sets out the function and scope of the assets and how this will meet the policy; in effect how the asset will create value. The Measure Performance stage considers what value the asset is providing; asset life cycle modelling can be used forecast future performance. The Identify Gaps and Risks stage allows for all key information that is likely to prevent the asset providing the required value to be captured. The maintenance strategy and investment strategy describe how the asset will be managed and invested in respectively; performance gaps and risks can be mitigated using appropriate strategies.

Figure 5. The life cycle planning process

The following life cycle plans are presented for each of the key asset groups. Each plan follows the process in Figure 5.

Where possible, the life cycle models used in these plans have been adopted from national best practice such as those provided by HMEP. A bespoke street lighting model has been developed which is based on the individual assets within the asset register. In all cases, the models have been calibrated using the Leicestershire asset data.

Carriageways Life Cycle Plan

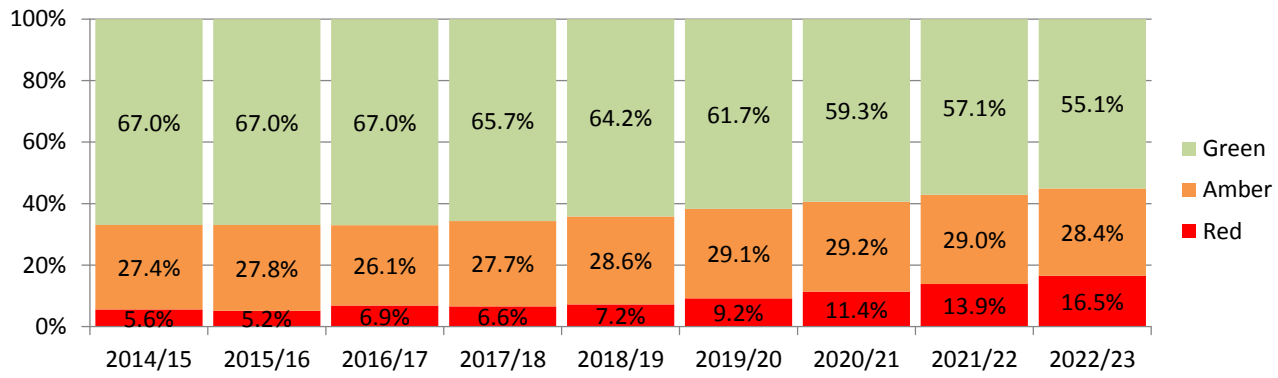
Inventory

Road class	Length (km)
A roads	353
B roads	230
C roads	1,297
Unclassified roads	2,349

Performance Requirements

The required function of this asset is defined in the maintenance hierarchy. The long-term aspiration for the carriageway asset is that overall it performs at least as well as the carriageways in the surrounding authority networks.

Asset Performance



The performance indicators for the carriageway assets are provided in “the condition of assets” set under Levels of Service. The chart above indicates the overall condition of the asset group including forecasts of condition based upon life cycle modelling. An excellent grade would be less than 8 percent to be considered for maintenance.

Given the limited budgets that will be available in the future, it is expected that the condition of the network overall will decline as shown by the increase in the proportion rated as Red above. The minor road network is predicted to be particularly at risk.

Maintenance Strategy

The County Council has maintained carriageways to a high standard overall and while the minor rural network is showing increased risk of deterioration, the County Council still has a network that is in reasonable shape. An appropriate maintenance treatment will be selected which provides the lowest whole-life costs. Preventative maintenance treatments are advocated where suitable.

The minor rural network will be more likely to receive a patching and surface dressing treatment, which will be applied as late as possible, without significantly compromising surface condition. Many of these carriageways have insufficient construction to carry the loads to which they are subject to and hence could be vulnerable to rapid failure; increased inspection will be

considered where necessary following a risk-based approach.

Revenue Investment

The annual forecast of revenue investment is £1.1 million per annum. Revenue investments are made to operate the asset by ensuring that the carriageway is kept in a safe condition and carrying out works that preserve the function of the asset.

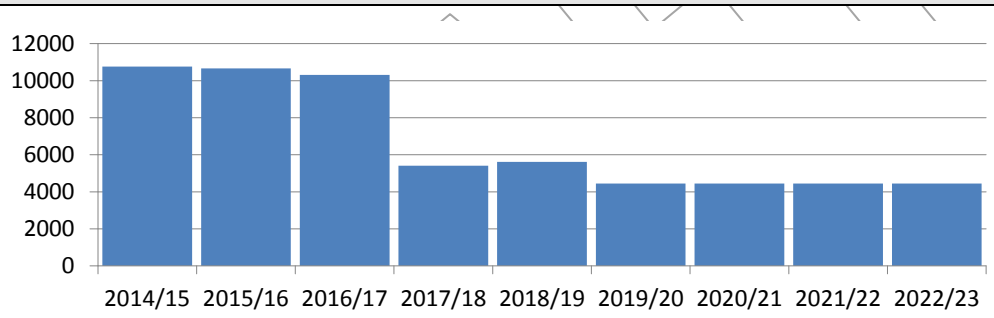
The majority of revenue expenditure funds unplanned reactive works which may be needed to restore a minimal level of function. Commonly these are potholes but many other defects are also remedied.

Revenue investment is also used to restore non-structural parts of the asset such as highway lining.

Routine Maintenance Process

Carriageway defects are identified through routine safety inspections and stakeholder reports. Responses to defects are based on a risk-based approach. A permanent repair is advocated wherever possible.

Structural Investment



Five strategic treatment types have been defined and are:

- Reactive restorative
- Planned restorative
- Preventative
- Improvement
- Renewal

Optimised treatment strategies, based on the strategic treatment types, will be applied to a defined set of carriageway types defined by hierarchy. Each treatment strategy is designed to maximise the serviceable life of assets by intervening as late as possible to minimise whole-life costs.

Structural Maintenance Process

Funding for treatments is prioritised using a multi-criteria approach covering:

- current condition as determined by network condition surveys
- local engineering input
- accident history
- stakeholder needs

- coordination opportunities
- engineering risks

Footways Life Cycle Plan

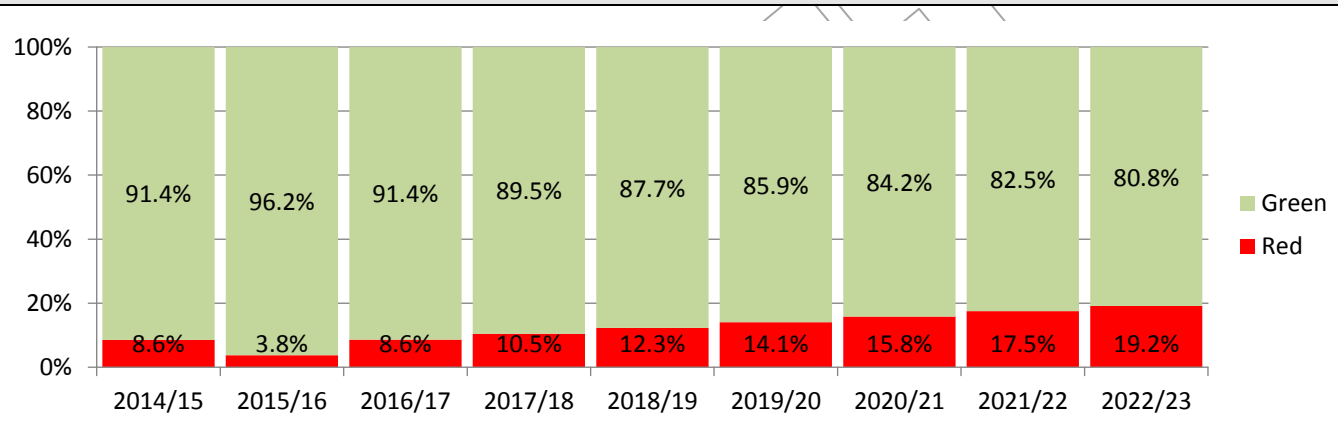
Inventory

Road class	Length (km)
Primary Walking Routes	60
Secondary Walking Routes	222
Link Footways	705
Local Access Footways	2,621

Performance Requirements

The required function of this asset is defined in the maintenance hierarchy. The long-term aspiration for the footway asset is that it is maintained in a steady state condition.

Asset Performance



The performance indicators for the footway assets are provided within the Levels of Service. The chart above indicated the overall condition of the asset including forecasts of condition based upon life cycle modelling. An excellent grade is less than 10 percent.

The footway asset will continue to require an extensive programme of renewal to maintain a steady-state in the overall condition. The forecast of condition above suggests that steady state cannot be achieved at currently planned levels of funding.

Maintenance Strategy

The County Council has maintained footways in a reasonable overall condition. An appropriate maintenance treatment will be selected which provides the lowest whole-life costs. Preventative maintenance treatments are advocated where suitable.

Footways with extremely low levels of use are designated as such and assigned maintenance standards comparable with our public rights of way network.

Safety defects will be remedied according to agreed timescales to successfully defend against claims.

Revenue Investment

Revenue funding for footways is accounted for within the revenue funding for carriageways.

Routine interventions are made to operate the asset by ensuring that the footway is kept in a safe condition and carrying out works that preserve the function of the asset.

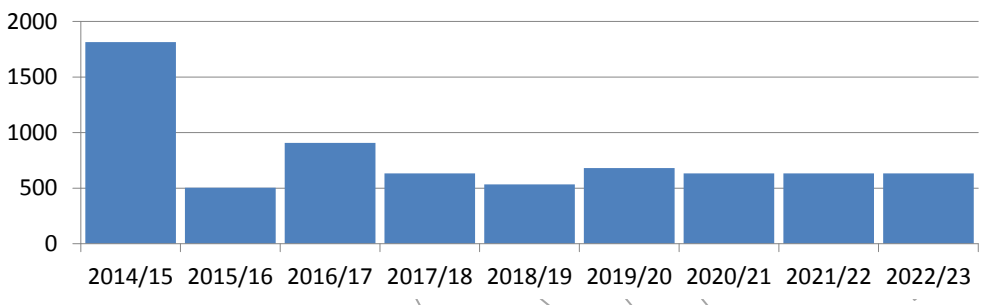
The majority of revenue expenditure funds unplanned reactive works which may be needed to restore a minimal level of function. Commonly these are potholes but other types of defects are also remedied.

Routine Maintenance Process

Footway defects will be identified through routine safety inspections and stakeholder reports. Responses to defects are based on a risk-based approach.

A permanent repair is advocated where possible.

Structural Investment



Footways treatments can be grouped in to four strategic treatment types which have been defined as :

- Reactive restorative
- Planned restorative
- Preventative
- Renewal

Footway treatments will be selected so that intervention is made as late as possible to minimise whole-life costs.

Structural Maintenance Process

Funding for treatments is prioritised using a multi-criteria approach covering

- current condition as determined by network condition surveys
- local engineering input
- stakeholder needs
- coordination opportunities
- engineering risks

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Structures Life Cycle Plan

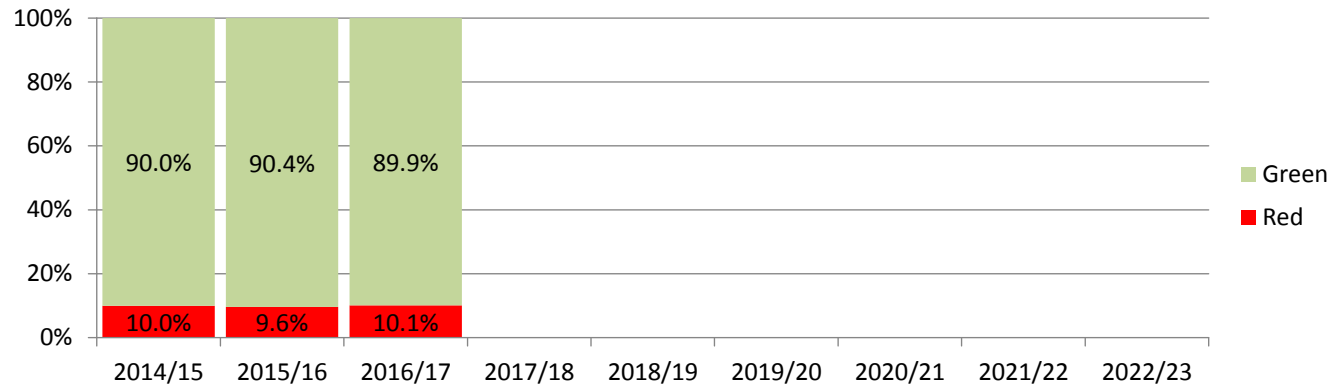
Inventory

Structure Type	Number
Bridges	545
Culverts	139
Subways	15
Retaining Walls	108
Gantries	9

Performance Requirements

This asset should be maintained so that there is sufficient structural capacity to enable traffic to pass an obstacle or to retain materials so that they do not interfere with passing traffic.

Asset Performance



The current performance indicators for the structures assets are within the agreed levels of service. The chart above indicates the overall condition of the asset (where red indicates the percentage of assets in the 'Average' and 'Poor' bands. No forecasts of condition based upon life cycle modelling have yet been formed. Future capital investment is forecast to be lower in the future than in recent years. Where recently the overall condition of the stock has improved, this improvement is unlikely to be sustained.

Maintenance Strategy

Structures assets concentrate the greatest amount of asset value into very discrete parts of the network and any failure is likely to be disruptive and costly to address. For this reason structures are designed as long-term assets and they require ongoing preventative maintenance to maximise their lifespan. It is considered important to continue to maintain our structures in their current condition.

The target that no more than 10% of our bridge assets has a Bridge Condition Index (BCI) less than 75 is maintained. Bridge repairs will be targeted using a risk based approach that will consider safety, immediate serviceability, long term viability of the structure, network resilience and commercial traffic volumes (initially based on network hierarchy).

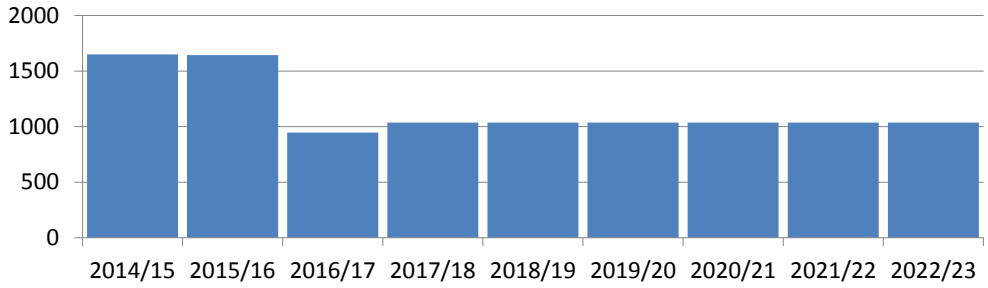
Revenue Investment

Routine interventions are made to preserve the function and appearance of the asset. Revenue funding may be used for unplanned reactive works but are also used to support cyclical maintenance activities such as silt removal, vegetation clearance and graffiti removal.

Routine Maintenance Process

Non-structural defects which are in need of attention are usually identified through the inspection process; but they can also be identified through targeted safety inspections and stakeholder reports. Responses to defects are based on a risk-based approach.

Structural Investment



Bridges are major assets and require significant investment for renewal. There are two significant bridges currently in need of replacement. One is Cavendish Bridge on the B5010 at Sawley, currently reduced to a single lane and managed by traffic lights. The other is Zouch Bridge on the A6006 at Hathern which is a priority for replacement. Funding for the work at Zouch Bridge has been secured but not currently for the replacement of Cavendish Bridge. Problems have been identified with another key bridge, the Grade II Listed Barrow Road bridge, between Barrow on Soar and Quorn in the north of the county; it is a key structure in terms of resilience, providing one of the few links across the Soar Valley when the flood plain fills and is therefore a priority for treatment as and when sufficient funding is available.

Structural Maintenance Process

Defects are identified during the programmed cyclical inspection process.

Funding is split between structural strengthening, preventative maintenance and asset management activities (inspections and load carrying re-assessments). Appropriate treatments are identified and prioritised using a risk-based approach.

The structural strengthening programme is prioritised according to each asset's Bridge Condition Indicator score for critical elements (BCI_{crit}). The BCI_{crit} scores reflect the condition of the main load carrying components of the structure.

The programme of preventative maintenance, including re-waterproofing, re-painting and non-structural brickwork repairs, is prioritised according to safety risks (defects which if left untreated will affect other elements of the structure) and financial risks (defects which if left untreated will have a significant cost impact in the future).

Street Lighting Life Cycle Plan

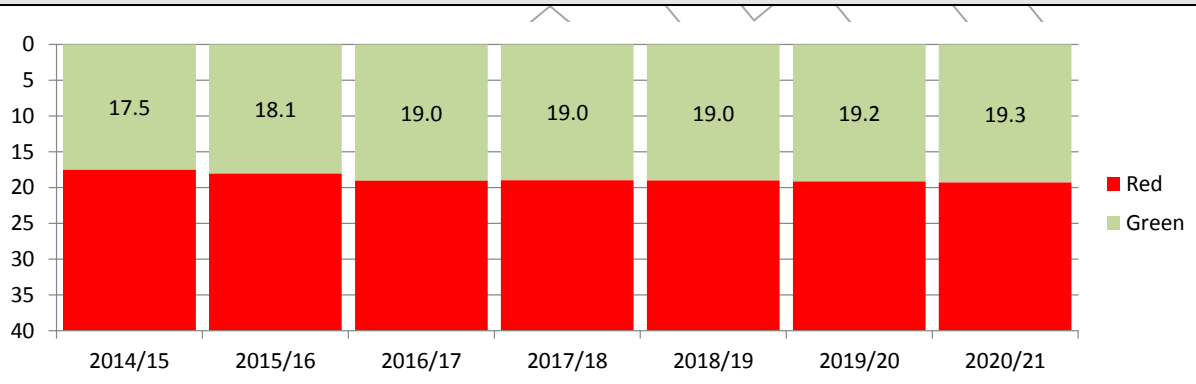
Inventory

Type\Height	Up to 6m	8m	10m	12m	High Mast
Painted Steel	18,480	4,101	4,328	1,249	-
Galvanised Steel	24,530	7,318	3,454	844	-
Concrete	2,225	2	-	-	-
Other	1,749	1	1	1	14

Performance Requirements

The function of this asset is to light designated parts of the highway network to the required standard.

Asset Performance



The performance indicators for the street lighting assets are provided within the Levels of Service. The chart above indicates the overall condition of the asset including forecasts of condition based upon life cycle modelling.

The street lighting asset will continue to require an extensive programme of renewal to maintain a steady-state in the overall condition. The forecast of condition above suggests that a slight deterioration in the average age of the stock is expected at currently planned levels of funding.

Maintenance Strategy

The County Council maintains an extensive stock of street lighting in a reasonable overall condition.

The maintenance strategy of this asset is largely defined by the choice made when the asset is renewed. Renewal options will be selected that provide the lowest whole-life costs including operating as well as capital costs. At the point of renewal or other appropriate time, the value of each asset can be considered and where appropriate the asset shall be removed leading to

an overall rationalisation of the stock. In addition, a testing regime has been adopted that seeks to extend the useful life of assets without increasing risk.

Safety defects will be remedied according to agreed timescales to successfully defend against claims.

Revenue Investment

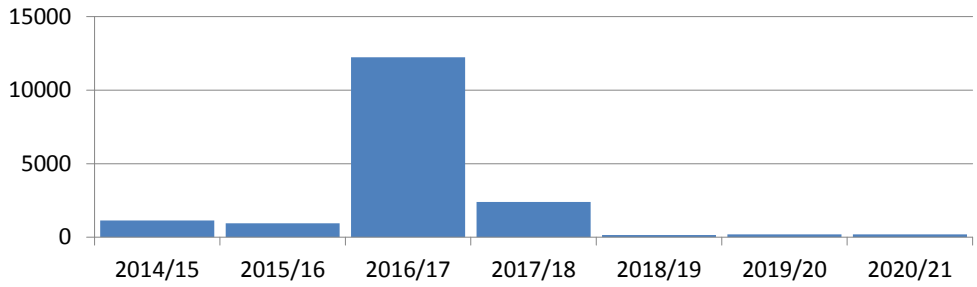
The County Council is currently completing a three year programme to upgrade all of its lighting to low-energy LED lanterns. This development will reduce energy consumption and revenue expenditure.

The majority of revenue expenditure is used to fund energy. Other works include cyclical testing and reactive work which may be needed to restore its function.

Routine Maintenance Process

Reactive work is identified through routine safety inspections and stakeholder reports.

Structural Investment



The County Council is about to complete a major upgrade programme to it street lighting asset but a number of known risks remain in the stock. Future investment will be targeting at removing lighting which is a risk.

A programme of testing will be in place which shall determine those columns at risk. A risk-based approach will be taken to scheduling this testing based on the age and type of the asset as well as analysis of failures by age and column type. The extent of the risk will only be known once the testing is significantly underway. The level of funding in future years will need to be reviewed in line with the merging knowledge of risk.

Structural Maintenance Process

Funding for treatments will be prioritised according to the risk of structural failure. Where the outcome of testing reveals an urgent or imminent risk of failure, then a reactive response must be made such as removal or temporarily capping unsafe assets.

Traffic Signals Life Cycle Plan

Inventory

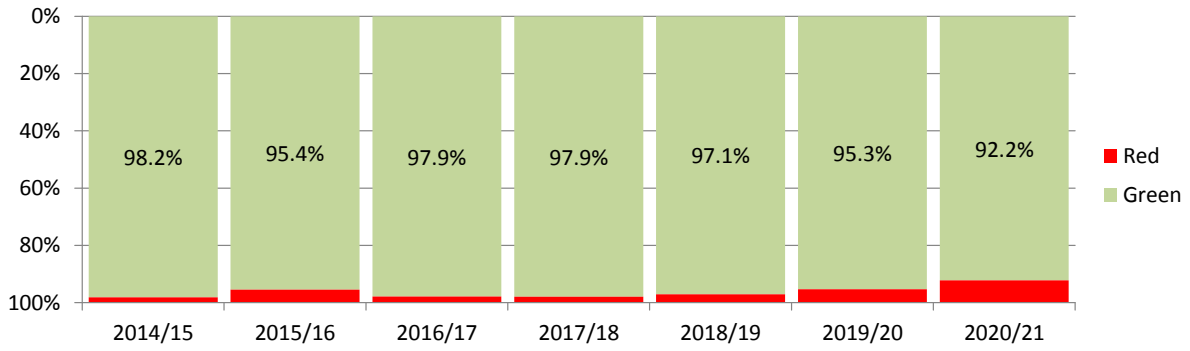
Traffic Signal Type	Number	Traffic Signal Type	Number
Junctions	404	Toucan Crossings	125
Zebra Crossings	112	School Flashing Units	82

Pelican Crossings	372	Vehicle Activated Signs	377
Puffin Crossings	3		

Performance Requirements

The required function of this asset is to control traffic on the highway network to protect the safety of highway users and ensure the expeditious movement of traffic.

Asset Performance



The performance indicators for the traffic signal assets are provided within the Levels of Service. The chart above indicates the overall condition of the asset, indicated by age, including forecasts of condition based upon life cycle modelling.

The traffic signal asset will continue to require an extensive programme of renewal to maintain a steady-state in the overall condition. The forecast of condition above suggests that a deterioration in the percentage of the asset greater than 20 years old at current planned levels of renewal.

Maintenance Strategy

The County Council has a large number of traffic signal installations in a reasonable overall condition. The aspiration is that no more than 4% of the asset should be more than 20 years old.

The maintenance strategy of this type of asset is largely defined by the choice made when the asset is renewed. Renewal options will be selected that provide the lowest whole-life costs including operating as well as capital costs.

Safety defects will be remedied according to agreed timescales to successfully defend against claims.

Revenue Investment

There are three main types of revenue costs

- Energy costs
- Other operating costs
- Reactive work

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Upon renewal, we select types of traffic signal installation which meet the operational requirements and minimise whole life costs including energy costs.

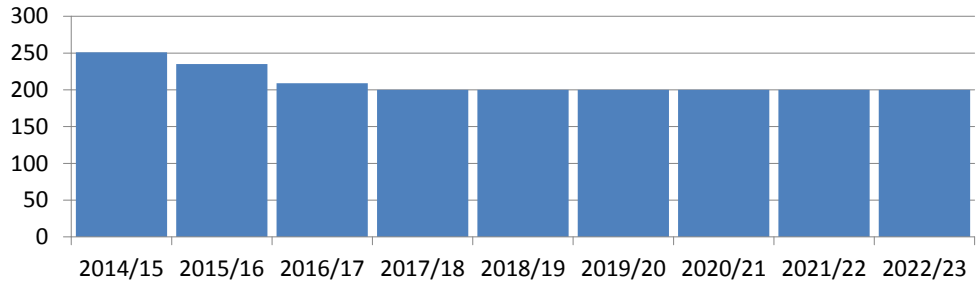
Wherever possible, control of the signal sites is being upgraded to a modern data communication system. This programme will generate annual savings and is due for completion in by 2019.

The revenue strategy is supported by the structural investment strategy which is based on minimising revenue maintenance costs including reactive work.

Routine Maintenance Process

The routine maintenance of traffic signals is entirely reactive, responding to faults in the operation of the asset.

Structural Investment



The structural investment strategy is based on minimising the risk of maintenance costs by assessing age, type and fault history.

The age of the installation determines the priority for renewal in most cases.

Experience of the performance of certain types of controller has been used to define a risk of future faults.

The fault history supports the overall case for replacement. Where a history of faults is significant or severe, this assessment can define the case for renewal on fault history alone.

Structural Maintenance Process

The financial risk at each traffic signal site is assessed according to the following framework

- Age
- Type of controller
- Total number of faults
- Total number of controlled faults

The risk is assessed regularly and a three year programme of renewals is in place.

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Drainage Life Cycle Plan

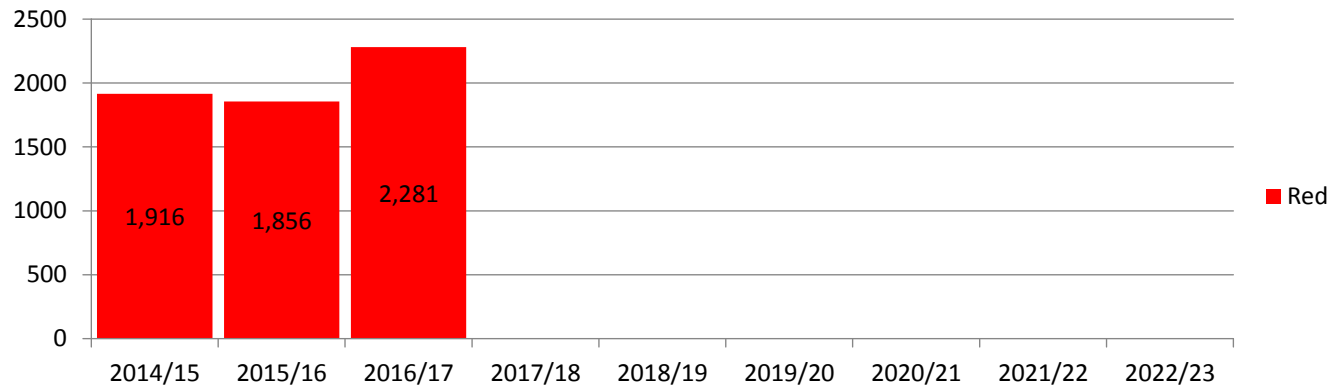
Inventory

Drainage type	Number
Gullies	133,228
Grips	38,060
Linear drainage channels	2,133

Performance Requirements

This asset removes water from the highway so that it does not affect the highway user or the structure of the asset.

Asset Performance



Insufficient performance data is currently available for this asset group. Performance is presented here using the number of customer reports about drainage issues as a proxy for asset condition.

Maintenance Strategy

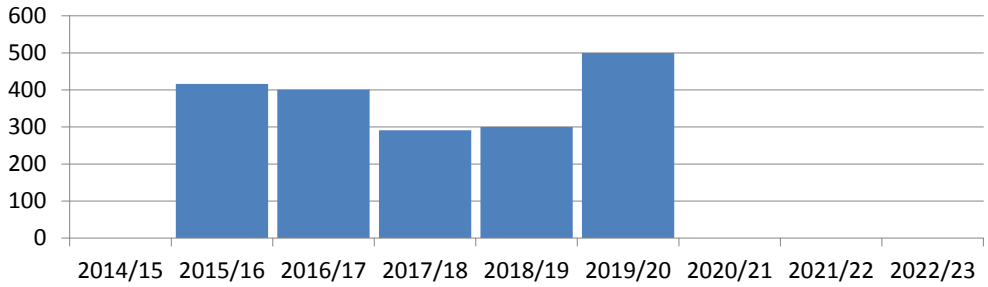
Stakeholders have indicated that improving the condition of highway drainage is a priority and better management of flooding is an essential part of improving resilience and sustainability of the network.

There is a comprehensive inventory of carriageway gullies and data is being captured about detritus levels. For other drainage assets, there is very limited data about the condition of the drainage asset.

The funding for structural investment is forecast to reduce in the long-term; therefore increasing in the risk of declining performance

Revenue Investment

Revenue funding is £1.36 million per annum and is used to undertake cyclical cleansing and reactive repairs.

Routine Maintenance Process
The majority of routine maintenance of drainage is cleansing. A targeted approach to gully cleansing is being implemented, rather than the current prescriptive fixed frequency regardless of risk, and will help to improve service levels but is unlikely to provide cost savings in the short term due to the current backlog of this work. Reactive repairs are identified from stakeholder reports.
Structural Investment
 No capital funding has yet been allocated for this asset group from 2020/21 onwards.
Structural Maintenance Process
Structural investment in the drainage asset is targeted at reducing risks and increasing resilience in the network.

3.3 Levels of service and Performance

Levels of service describe the quality of services provided by the asset for the benefit of the stakeholder. The following levels of service have been formed to explain how the Council is making progress to deliver its asset management goals as presented in section 1.6; these have been grouped into three service sets:

a) The stakeholder feedback set communicates how the Council is receiving information about the service it is providing.
b) The operational information set includes a range of measures that show how the Council is delivering the highways maintenance service.
c) The condition of assets set provides the current state of the asset which is the output of our asset management planning activity; the performance in this set is formed into grades in order to better communicate the technical measures which are often required to present asset condition. Where possible, the performance grades have been set by benchmarking our performance with other local highway authorities and are defined in Section 2.3.4.

Table 8 – Current service and long term trend

	Current Service*	Previous Period	Future Trend
Stakeholder feedback			

Customer satisfaction with road condition	45%	45%	🡻
Reports of potholes	1,114	2,088	🡹
Reports of grass cutting issues	672	919	🡸🡺
Reports of flooding issues	581	499	🡹
Operational information			
Percentage of requests responded to on time	89%	95%	🡹
Percentage of roads maintained	-	8.6%	🡻
Percentage of footways maintained	-	-	🡻
Choosing preventative maintenance	-	8.1%	🡻
Percentage of street lighting replaced	3.0%	0.2%	🡸🡺
Percentage of bridges maintained	0.3%	0.6%	🡸🡺
Percentage of traffic signals replaced	2%	-	🡸🡺
Number of potholes repaired	3,986	3,762	Unknown
Area of grass cut (million square metres)	-	-	🡸🡺
Investment in drainage	£0.4m	£0.4 m	🡻
Length of roads gritted during winter	-	-	🡸🡺
Condition of assets			
Condition of A class roads	Excellent	Excellent	🡻
Condition of B and C class roads	Excellent	Excellent	🡻
Condition of minor roads	Excellent	Excellent	🡻
Condition of footways	Excellent	Excellent	🡻
Condition of bridges	Average	Good	TBC
Condition of street lighting	Good	Good	🡸🡺
Condition of traffic signals	Good	Good	🡸🡺

Trend Key
🡹 Increasing 🡻Decreasing 🡸🡺Stable

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3.4 Funding requirements for steady state

Each of the asset life cycle plans present the future budgets with a forecast of asset condition where available. The asset management approach set out in this plan requires for the demand for funding key assets are considered as a fully-integrated network. This section attempts to present the steady-state funding required as a whole. Considering each of the life cycle plans the following observations can be formed:

- The condition of carriageways is forecast to decline over the period of this plan at the expected levels of funding. The carriageway asset represents the greatest value

infrastructure asset as shown in Table 2; therefore this presents a significant risk for the asset as a whole.

- The condition of other assets such as footways, street lighting and traffic signals are also forecast to decline.

Although it is not an explicit aim of all assets covered by this plan, it is informative to forecast the investment required to reach steady state condition. Furthermore, permitting the asset to degrade before intervening is unlikely to result in minimum whole life costs and hence will not achieve the asset management goal of ensuring the optimal use and direction of Councils resources. Therefore, the likely impact of funding deficiencies should be highlighted. Figure 6 combines the funding forecasts across each of the asset life cycle plans together with forecast budget needs for maintaining the asset in a steady state condition overall.

Overall the current budget is insufficient to maintain the asset in its current condition. The majority of the deficit is attributable to the carriageway asset.

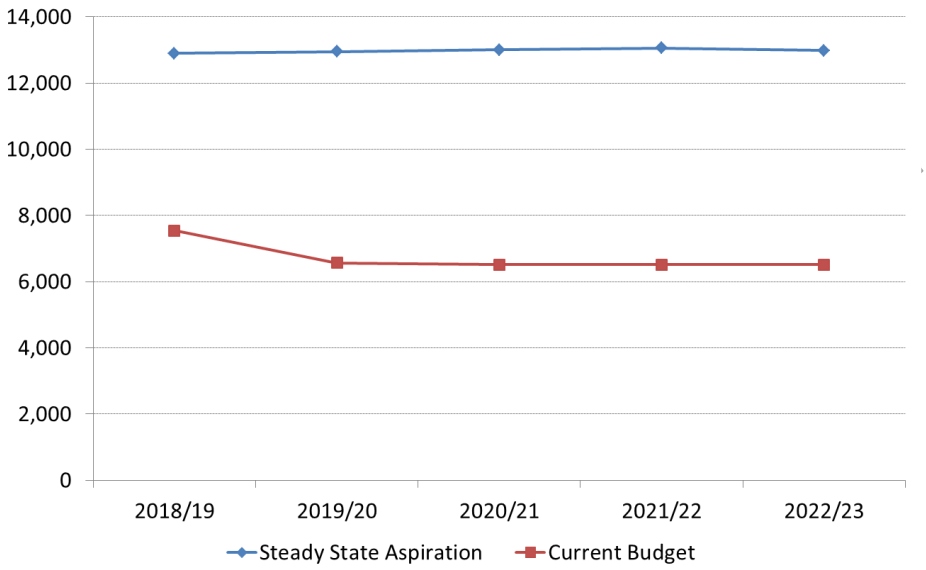

Figure 6. Comparison of current budget forecast and the steady state funding aspiration

4 Delivery of the plan

4.1 Communication

Introduction

There are 4,229 km of highway network in Leicestershire that are managed by the County Council, as well as pavements, verges, drainage, and large numbers of street lights, traffic signals and structures such as bridges. Whilst independent surveys show that our road network is still regarded as being one of the best, reductions to our budget mean we need to look at revised ways of working in the future.

We need to ensure that residents, motorists and businesses are informed about work on our highways, our services, and any changes to them. Our communications need to be informative, timely and easily accessible.

We have developed a Communications Strategy to support the HIAMP, the key aspects of which are set out below. Through our communications, we aim to inform the public and stakeholders about road works, highway activities and issues, as well as changes to our asset management and maintenance approach. We will also encourage people to access "self-service" information through information available on our website.

This Communication Strategy consists of a detailed Communications Plan document which is available online and also the key information which is set out below.

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Aims

The aim of our communications is to:

- Inform the public about physical road works, operational highways issues (including defect repairs, winter maintenance etc.) and value-for-money highways and transport activities in a timely manner.
- Communicate proposed changes to highways asset management in Leicestershire, encourage public engagement through our communications and raise awareness about changes if these are adopted.
- Encourage people to make the best use of reporting channels – e.g. 'self-serve' via our website if possible, thus reducing the number of highways related enquiries to the Customer Service Centre and via Members.
- Ensure the public is aware of funding bids awarded to the council to help maintain and enhance the local highway network.

Key Messages

Our key messages regarding Asset Management that will be communicated are:

- We will prioritise high risk repairs when responding to highway defects. This may mean other repairs could take longer than before, but we will be clear about timescales.
- We will focus on planned maintenance work to help slow down the deterioration of the highway asset.

- Preventative work will be carried out on a “risk based” approach and determined on how roads are “categorised” in a new classification of highways.
- We are exploring new and more efficient ways of working. This includes working with Parish Councils to manage/deliver some aspects of Highways Maintenance (e.g. environmental works) and making use of emerging technology (e.g. for a targeted approach to gulley cleansing) to deliver cost savings.
- Keeping winter services, such as gritting, at current service levels.

More generally, we will communicate that we are working hard to maintain the standard of our roads, although increased budget pressures mean we will have to focus on maintenance rather than improvement or larger schemes that help support growth/economy. We will provide details of any major road schemes or highway related consultations.

We will highlight action we are taking to keep the network up and running such as emergency repairs, closures due to extreme weather, any planned maintenance and gritting. We will also provide winter driving advice and let people know how they can find out about services and maintenance work (e.g. grass cutting schedules) online, together with consultations on future schemes.

Key Groups/Stakeholders

We will seek to communicate with a wide range of people and organisations that have a stake in Leicestershire’s road network. This includes, but is not limited to:

- Elected Members
- Local residents
- Road Users (Pedestrians, Cyclists, Horse Riders, Bus Users, Disabled Users, Motorists)
- Businesses
- Emergency Services
- Representative groups
- District/Borough Councils
- Neighbouring Local Authorities
- Customer Service Centre Staff
- Leicestershire County Council staff and its partners such as bus operators and other contractors.

Communication methods used

We have a number of communication methods available, including:

- Social media (Twitter & “Choose How You Move” Facebook page)
- Press releases
- Local TV/News
- Local radio stations
- Council Website
- Traditional media and digital
- Door-to-door letters / leaflets
- Leicestershire Matters (Council resident’s newsletter)
- Parish Councils’ Highways Newsletter

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- Stakeholder Workshops
- Public Meetings / Exhibitions
- Partners' Channels
- Customer Service Centre (reactive)

Monitoring review and evaluation

It's important that we regularly monitor and review the effectiveness of our communications. Key indicators of audience awareness and the effectiveness of our communications will be:

- Media Coverage (Volume, Tone, Positive/Negative)
- Social Media Coverage
- Website Use
- Use of self-serve functions via the LCC website
- Level of response to consultations
- Satisfaction levels from surveys
- Queries/Feedback from members of the public and elected members

We will formally review and evaluate our communication activities annually. This will include a review of the indicators above where appropriate, together with service user feedback and management discussions.

4.2 Customer feedback

It is vital that stakeholders can contact the County Council to request service to deal with current issues and to register priorities for future work. Our customer feedback process is set out in Figure 8. Two types of feedback have been identified.

1) – A request is a current or imminent issue or a petition which the customer wishes to be resolved; resolution of this issue may be achieved by carrying out work or providing adequate information to the customer about the result of their request.

2) - A priority is more strategic information. Infrastructure assets must deliver value for the customer and therefore these links are essential to understand customer needs and maintain the relevant knowledge to inform this HIAMP.

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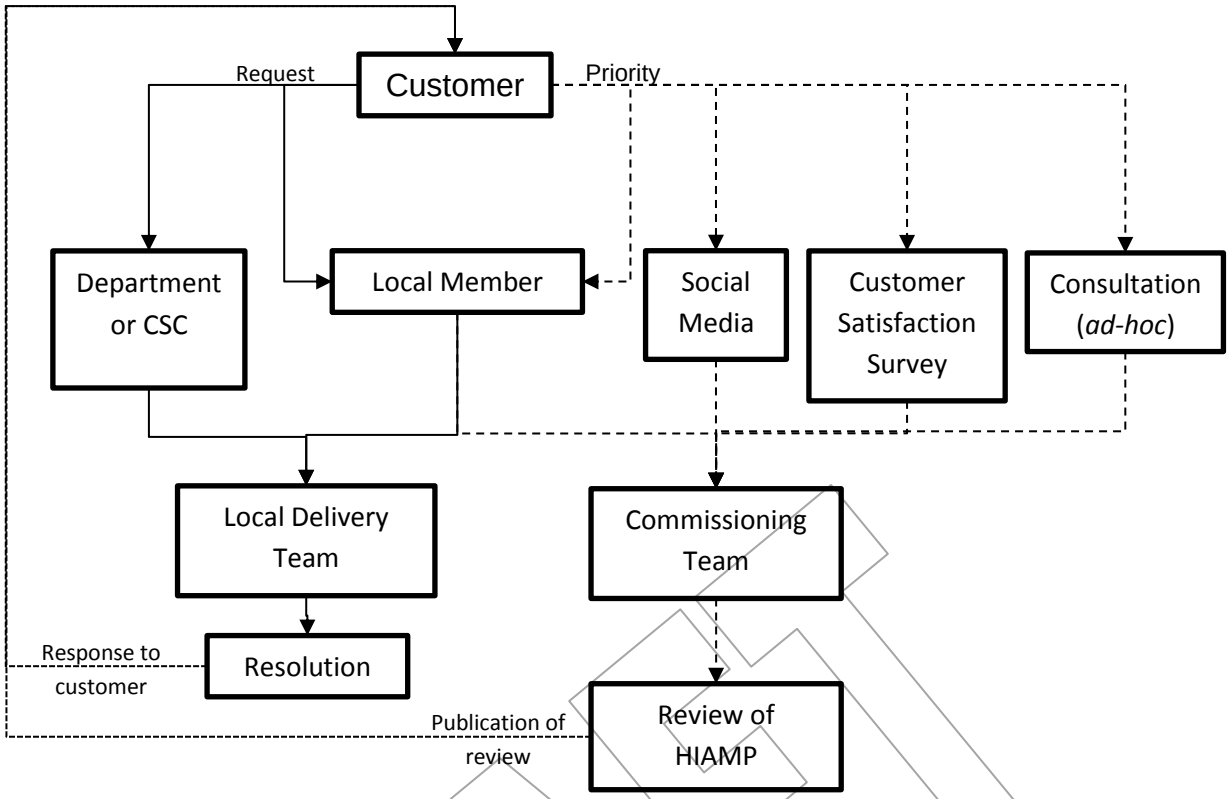

Figure 8: Customer feedback

In figure 8, a customer may be an individual, an organisation or a collective.

4.3 Data management

Highway asset data is managed primarily by the Network Data & Intelligence team and Support Systems team, but certain datasets are also managed elsewhere in the Environment and Transport Department. The asset registers exist in our Integrated Highway Management System, Pavement Management System and Geographical Information System.

The Council has a robust data management regime as defined in the data management plan. The data management plan defines the key aspects of the County Council's asset data.

A data hierarchy has been adopted in the plan which uses three levels:

- Asset Group e.g. street lighting
- Asset Type e.g. Heritage column
- Component. e.g. Luminaire

Storage requirements are defined by activity and asset group as well as the team responsible for management of the data.

A high-level gap analysis has been undertaken on the highways asset data and the key improvement actions in the data management plan are to:

- Complete an exhaustive review into the existence, quality, currency and use of data and information relating to highway asset management.
- Define a specification for all datasets relating to highway asset management, including defined protocols for data management, review and retention.
- Review the suitability of the proposed asset groupings, data storage systems and data management roles and responsibilities following the above actions.

4.4 Competences and training

The County Council recognises that competencies and training are critical to the delivery of this plan. A competency framework for all key asset management staff is used to identify the individual competency requirements. All key staff will be assessed against this framework as part of the annual review process and staff development requirements are captured at a team and individual level.

In addition, all key staff undergoes asset management training based upon the HMEP Asset Management e-learning toolkit. Regular briefings on the requirements of this document and progress with delivery ensure that the expectations for individuals are clear.

4.5 Principles of a risk based approach

Risk is an intrinsic element of the management of highway infrastructure assets, it cannot be removed entirely but it must be managed. To optimise the value of the available resources, risk must be understood in order to make the best decisions.

The approach to understanding risk is set out in this plan as it applies to all aspects of how we will manage our assets and includes strategic, tactical and operational risks. The key actions of this risk based approach are:

- Understanding our statutory duties and ensuring that these are fulfilled.
- Identifying the value and criticality of the County Council's assets and operations to fulfil the asset management objectives and achieve the levels of service.
- Gathering sufficient and appropriate information (evidence) to support risk-based decisions.
- Ensuring staff have sufficient knowledge and competency to make risk-based decisions.
- Identifying and prioritising risks associated with the assets using systems that are consistent with the County Council's corporate approach to risk management.
- Implementing appropriate controls.
- Documenting risk-based decisions ensuring that the whole approach is transparent.
- Applying the risk based approach equitably for all stakeholders and in all locations.
- Communicating the approach and the outcomes of where it is applied to stakeholders.

"Well-Managed Highway Infrastructure" states that "a risk based approach should be adopted for all aspects of highway infrastructure maintenance". This approach should be in accordance with local needs (including safety), priorities and affordability. It is acknowledged that for each aspect of highway infrastructure maintenance, there will be a range of risk types which need to

be considered. The County Council will use a framework that considers the following types of risk when adopting a risk based approach:

- Safety of all highway users
- Fulfilling our legal duties
- Financial loss for the County Council
- Impacts on the economy
- Impacts on, and generated by, the environment
- Accessibility or availability
- Equitability
- Reputation and customer satisfaction

This HIAMP sets in place the over-arching approach which will be deployed for operational procedures that will sit below, and ensure delivery of the approach set out in the HIAMP. Examples are how this approach will be used are:

- Developing a resilient network which allows improved decision making to ensure that economic activity and access to key services are maintained. Using this network to better understand the value of our assets.
- Updating the network hierarchy to enable the County Council to undertake inspections at appropriate frequencies and respond to defects within appropriate timescales.
- Defining appropriate cleansing regimes for drainage using improved understanding of the current performance of the asset.

We will continue to develop and maintain our operational procedures throughout the life of this plan.

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4.6 Developing a works programme

There are many stages to developing a works programme; this includes identifying work, prioritising the work identified, developing the work into a forward plan and finally the annual works programme shown in Figure 2.

Identifying work for candidate schemes will involve the consideration of current condition of the asset against the required performance and consideration of risk. Local intelligence is an important part of this process, not only to inform about constraints but also to provide engineering solutions which takes into account locally known risks. Prioritisation of the work ensures that for the resources available the County Council generates the maximum value. The precise process will be tailored to the individual asset groups according to the strategies set out in the life cycle plans but the resources and delivery are considered together as in integrated programme of work. Operating procedures formally set out the methods for identifying and prioritising work.

Programmes of work are essential to deliver this asset management plan. The benefits of a works programme are:

- Reducing risk by planning ahead, hazards which will affect the delivery work can be identified and actions taken to mitigate risk.
- Increasing efficiency by enabling multiple work types to be scheduled in an optimum fashion and enabling the supply chain to provide the optimum solution.
- Increasing transparency by communicating the programme to stakeholders enabling them to see the process of delivery and improve stakeholder satisfaction.

The County Council aspires to produce a three year integrated forward programme of work in line with asset maintenance strategies using a risk-based approach that is based on available condition data and intelligence of reactive work history, local concerns and engineering experience. The work is prioritised to achieve asset outcomes as defined in the levels of service.

The forward programme of work is split into an annual works programme and a forward plan of work.

The annual works programme is defined for the forthcoming financial year. Schemes in this list will be fully developed and a schedule for delivery can be accurately defined based on the actual funding available.

The forward plan of work is defined for Years 2, 3 and beyond. This programme is comprised of schemes that are being developed through the design and procurement process. This stage of the programme provides the opportunity to consult with stakeholders and the supply chain. Initially the wider programme will be formed of candidate schemes which are the County Council's earliest intelligence or aspiration for work that is required. The programme will be continually revised and refined until such point that it becomes the annual works programme.

The annual works programme will be published on the County Council's website.

4.7 Investment aspirations

As previously stated in this plan, asset management facilitates the move toward decisions which deliver the greatest value, also our asset management goal is to ensure the optimal use and direction of the Council's resources. Funding a key enabler of the asset management framework as shown in Figure 1; therefore it is appropriate to present the Council's aspirations for funding which best supports the goals of this plan.

The plan includes forecasts of asset condition using current budget forecast as well as a comparison of funding requirements to achieve the steady-state. With this knowledge it is an aspiration that future decisions about the level of funding for the highways infrastructure asset are made in the clear knowledge of the future risks to the asset.

Furthermore, while a future budget has been outlined, the nature of funding is that this can change even within the current financial period. Such changes can be disruptive but can also lead to an inefficient use of resources due to compensation payments due, an inability to engage with the supply chain at an early stage or going to the market at the wrong time.

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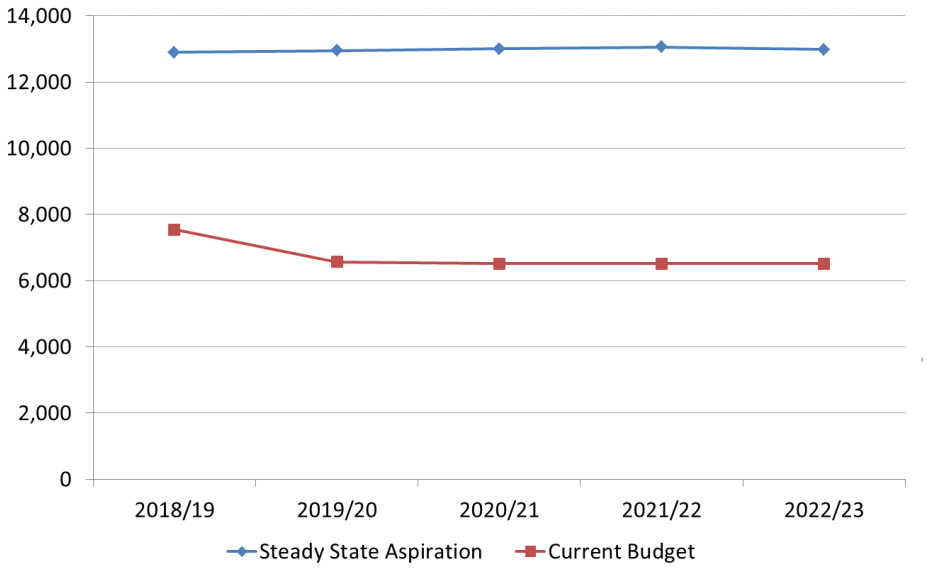
In recent years, budget for highways maintenance have been augmented by discretionary additional funding which has been allocated during a financial period. This funding has been essential to enable the authority to sustain the condition of the asset.

To achieve the asset management goals, a more stable investment plan should be identified. This will maximise the opportunities to deliver the greatest value by applying an asset management approach and ensuring that these investments are spent in the right places.

As shown in Table 7, the levels of service provided in the future are at risk for the currently identified future budget levels. The Council will continue to work to identify additional sources of funding to address any deficiencies or to revise its long-term service aspirations



4.8 Milestones

A number of actions have been set out in the asset management strategy. These actions have been presented as milestones for this plan in Table 7.

Table 7 Milestones in the implementation of the HIAMP

Action	Year
New local road hierarchy for carriageway and footway	2017/18
New inspection frequencies	
Completion of the gap analysis of asset data	
Critical operating procedures revised to comply with risk-based approach	
Developing treatment strategies for carriageway maintenance groups	
Assessment of specific risks associated with the maintenance of highway assets against an understanding of the strategic importance of the asset or assets concerned	

Development of dynamic life cycle plans for all key assets	
Carriageway gullies cleaned according to a risk-based schedule	2018/19
Establish clear criteria for responding to sign damage using a risk-based approach and clarify the timescale for repairing or decommissioning low-risk signs	
Completion of a cycle route inventory	
Preparation of a five year schedule of works.	
Critical operating procedures revised to comply with risk-based approach	
Completing upgrades to traffic signals to improve communications telemetry	
Establish criteria for decluttering of redundant signs and other redundant street furniture	2019/20
All operating procedures revised to support the HIAMP	
Completion of culvert inventory	To be confirmed

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5 Risks

5.1 Managing risk

To manage risk the County maintains and reviews a number of risk registers in a multi-level risk management framework as Shown in Figure 9.

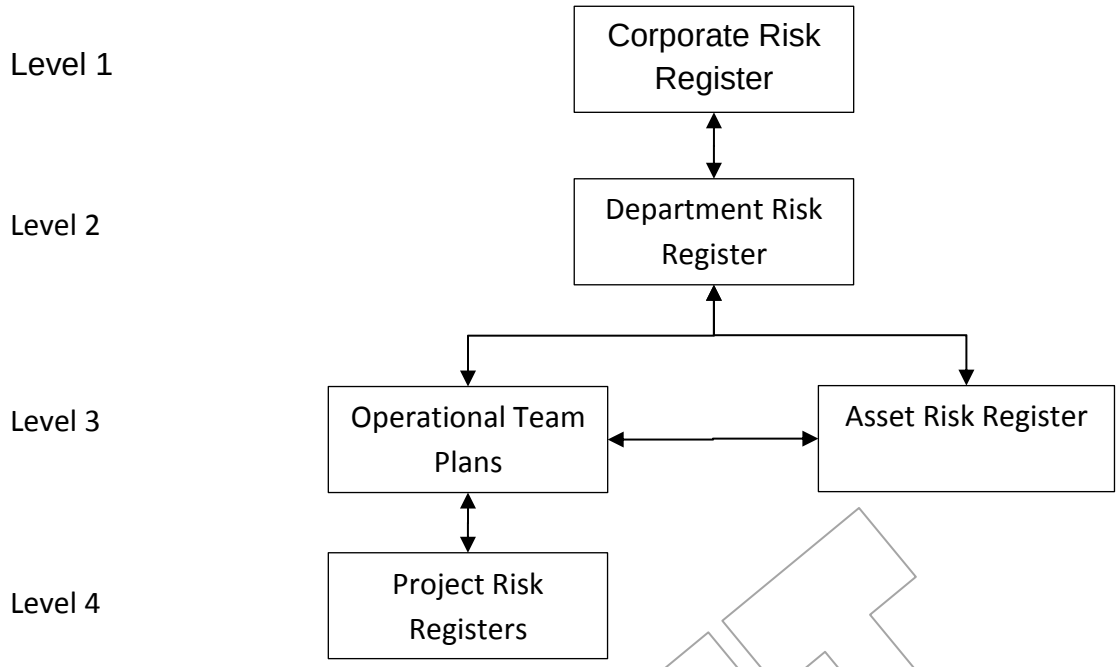

Figure 9. The risk management framework

Risks are captured and managed in Levels 3 and 4. These risks can be escalated to the department risk register and subsequently can be escalated to the corporate risk register as required. Some risks will exist in both the operational team plans and the asset risk register.

The asset risk register facilitates management across all asset groups. It includes asset at risk that will:

- Impact on the overall delivery of the plan.
- Affect the resilience of the highway network.

The register quantifies and assesses the risk together with the proposed action and investment to mitigate the risk. The asset risk register is one of the inputs to the formation of the integrated works programme and it will be reviewed at least annually.

5.2 Protecting the environment and dealing with climate change

In recent years, a number of extreme weather events have had a significant impact on transport infrastructure in the UK. It is accepted that these events are becoming more frequent and this is likely due to climate change. In managing the highway, the County Council needs to adapt its approach to consider climate change in the decisions it make.

Climate change is not a local phenomenon but the activities of the County Council will make a contribution to this threat. The County Council will take account of the environmental impact of its maintenance treatments and services and where feasible, either reduce or mitigate these impacts. The County Council will also seek to maximise the serviceable life of assets and therefore reduce the frequency of asset renewals. Considerations shall include:

- Deploying preventative treatment strategies, where viable, to retard deterioration in the asset.
- Using recycled materials or the use of low temperature asphalt to minimise carbon emissions.
- Collaborating with the supply chain to reduce emissions arising from the transport of materials.
- Scheduling work to minimise congestion as a result of maintenance interventions.

5.3 Network resilience

The County Council must also consider the resilience of the highway network. It will do this by:

- Defining a resilient network which focuses resources on sustaining a functioning network during extreme weather, major incidents and other disruptions.
- Taking a risk-based approach to the way the service is delivered which accounts for risk to, and generated by, the environment.
- Recognising the importance of winter service to highway users.

The County Council currently treats 45% by length of the carriageway network on a precautionary basis in advance of any forecast of ice or snow. Footways are only treated when there is prolonged snow or ice. This service is very highly valued by stakeholders. A annual review of winter service routes will continue but no overall reduction in service level is anticipated.

5.4 Growth in demand

The demand on the highway network is not static. Changes in land use via development and other economic factors alter the amount and composition of traffic over time. Based on national forecasts, overall traffic in Leicestershire could grow by up to 10% between 2017 and 2022.

Due to development, the County Council may choose to adopt additional assets. Recently, the County Council has adopted approximately 14km of road per year. Between 2017 and 2022 this would equate to an increase in 1.6% in network length.

Demand also exists in the supply chain in terms of prices. Inflation in prices will impact on our ability to undertake work with the available funding. Construction price indices from recent years indicate that the average percentage annual change in prices was 1.8% which if sustained over the period 2017 to 2022 would equate to a reduction in funding of 9.3% in real terms.

This analysis concludes that there will be an increase in overall demand on the highway asset in real terms over the next five years which must be considered when making strategic decisions about the asset.

6 Governance

Asset management of highway infrastructure in Leicestershire will continue to develop following publication of this plan. Likewise the HIAMP document and its supporting information should evolve as further data is gathered and learning increases.

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The development of asset management practice at the County Council will be enhanced by benchmarking our data with other similar authorities through the Midlands Highway Alliance, the Midlands Service Improvement Group and the CQC Efficiency Network.

The delivery of this HIAMP will be overseen by the Asset Management Programme Board comprising asset management specialists as well as the Commissioner and the delivery side of the highways operation. A review will be undertaken at least every two years with a report on progress with any recommendations for changes to the HIAMP produced.

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Leicestershire County Council

Permit Scheme

June 2017

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1 Introduction

1.1 The Permit Scheme

The Leicestershire County Council (LCC) Permit Scheme, hereafter referred to as the Permit Scheme, has been developed under the powers provided in Part 3 of the Traffic Management Act 2004 (TMA); the Traffic Management Permit Scheme (England) Regulations 2007; the Traffic Management Permit Scheme (England) (Amendment) Regulations 2015; and any subsequent amendments. These regulations are referred to as the "Permit Scheme Regulations" within this Permit Scheme. It is a Permit Scheme for the purposes of Section 32(1) of the TMA.

LCC when preparing this Permit Scheme, had regard to the guidance issued by the Secretary of State and the Department for Transport contained in the *Statutory Guidance for Permits (October 2015)* and the *Permit Schemes conditions (March 2015)*.

LCC, in preparing this scheme, also had particular regard to the requirements of Part 5a (in particular Section 49(a)) of the Disability Discrimination Act 1995 and associated codes of practice.

The Permit Scheme replaces part of the current 'noticing' system under the New Roads and Street Works Act 1991 (NRSWA) for works taking place on the highway. The Permit Scheme allows LCC, hereafter referred to as the "Permit Authority"), to better manage activities on the highway and minimise disruption and inconvenience. The Permit Authority shall demonstrate at all times parity between Promoters ensuring non-discrimination between Permit applicants.

1.2 Working Groups

The Permit Authority will through discussions at joint working groups/meetings between the Permit Authority, Statutory Undertakers and other stakeholders to enable discussions and to give guidance on operational issues. If required the Permit Authority will establish a separate working group.

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2 Permit Management and Analysis (Coordination in Action)

2.1 Technology

Technology will facilitate the day-to-day co-ordination of the majority of proposals, especially given the relatively short lead times for Minor and Standard works.

Permit applications should include locations by means of Ordnance Survey National Grid References (NGR). This together with the use of the National Street Gazetteer means that the Permit Authority will be able to visualise the impact of different activities on their networks and the interaction between these activities.

To increase the benefit of these changes, the Permit Authority as the Highway Authority will work toward the inclusion of NGRs on other relevant documents.

2.2 The Register

The Permit Authority will maintain a register of each street covered in their scheme, as well as a register under Section 53 of NRSWA for other street information that are not part of the Permit Scheme. The register will be in accordance with Part 7 of *The Traffic Management Permit Scheme (England) regulations 2007*, and the Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007..

2.3 Collaborative Works

Collaborative working may include

- Trench sharing
- Activities that share traffic management or road space
- Multi-agency activities that limit the number of days an area of road space is occupied

The Permit Authority will proactively seek to encourage collaborative working opportunities between any Activity promoters. It is accepted that there are often issues with such arrangements, particularly contractual complications and Construction Design and Management (CDM) or site management. Nevertheless, every opportunity will be sought to minimise the disruption to users of the highway.

In the event of collaborative working, the primary Promoter should take overall responsibility as the agreed point of contact with the Permit Authority. The secondary Promoter(s) retain the same responsibility for submitting Permit applications for work to be carried out by them or on their behalf.

If the nature of joint working is trench sharing, the primary Promoter will excavate the trench and install its own apparatus. The secondary Promoters will install their apparatus in the same trench. The primary Promoter will then backfill and reinstate the trench unless it has been agreed with both the Permit Authority and the relevant secondary Promoter beforehand that one of the secondary Promoters do it. In this case, the responsibility for the quality of the reinstatement will lie with the Promoter that completed it. A similar approach to primary and secondary Promoters will be followed for other forms of collaborative working.

Only those Permit applications submitted by the primary Promoter are required to show the estimated inspection units attributable to the street works. The primary Promoter should detail the other Promoters involved and the scope of the collaborative working in the initial application. The primary Promoter should also ensure that estimates of works duration are agreed and/or confirmed with the

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secondary Promoter(s) when submitting permits. This is necessary in order to comply with the overrun charging requirements in the Permit Scheme Regulations.

To avoid any ambiguity, the Permit Authority will issue Permits to all the Promoters involved, not just the primary Promoter. However, the fees will be adjusted to reflect the collaborative approach, provided all the applications meet the criteria set out in Section 31(4) of the Permit Scheme Regulations see Section 8.4).

2.4 Forward Planning

Forward planning information on long-term programmes from all Promoters will help the Permit Authority to co-ordinate activities. It will also help Promoters to identify opportunities for joint working and to coordinate the timing of resurfacing. This might include mains replacement programmes or the reconstruction of main roads, which will be planned several years ahead.

Promoters are encouraged to maximise the use of forward planning notices even if the information being submitted is incomplete or uncertain. This will enable better coordination opportunities. Forward planning notices should be reviewed and updated regularly to include details as they are finalised. Promoters should follow the guidance given in the electronic transfer of notices (EToN) technical specification with regard to the content of forward planning notices and how they are recorded on the register.

It should be noted that forward planning notices do not remove the requirement to apply for a Provisional Advance Authorisation or Permit at the appropriate time.

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3 Scope of the Permit Scheme

3.1 Streets Covered in the Permit Scheme

As required by Permit Scheme Regulation 7, the "specified area" will be the geographical area encompassed by LCC's administrative boundary.

All streets maintained by, or on behalf of, the local authority are included within this scheme, these are the "specified streets" as set out in Permit Scheme Regulation 8. These are identifiable within the authority's Additional Street Data (ASD).

Trunk roads and motorways for which Highways England is the Highway Authority are not included in the scheme.

Privately maintained streets are not included in this scheme but will be added if they are subsequently adopted by the Highway Authority and will be shown as such within the local street gazetteer.

Activities on privately maintained streets will be recorded on the authority's street works register as notices under Section 53 of NRSWA.

3.2 Street Gazetteer

For the purposes of the Permit Scheme, the term "street" refers to a length of highway associated with a Unique Street Reference Number (USRN) as determined by the National Street Gazetteer Concessionaire.

The Permit Authority will maintain and publish a gazetteer of all streets operating under the Permit Scheme to level 3 standard as required by the Statutory Guidance for Highway Authority Permit Schemes (October 2015) and an ASD which will contain the information required by, GeoPlace the NSG Concessionaires.

If the Permit Authority revises ASD designations, it will be carried out according to the criteria and procedures detailed in the Street Works (Registers, Notices, Directions and Designations) (England) regulations 2007 or subsequent guidance**.**

3.2.1 Reinstatement Designation

Reinstatement categories are defined in Section 1.3 of the statutory *Specification for the Reinstatement of Openings in Highways* (SROH) and are the same as those used under NRSWA. Designations for each street in the local street gazetteer will be provided in the authority's ASD.

3.2.2 Special Designations

Protected streets, streets with special engineering difficulty (SED) and traffic-sensitive streets defined in the Street Works (Registers, Notices, Directions and Designations) (England) regulations 2007, will have the same designations under the Permit Scheme. Where those designations are revised, the criteria and procedures in the NRSWA Code of Practice for the Co-ordination of Works will be followed.

3.2.3 Strategically Significant Streets

Strategically Significant Streets include traffic-sensitive streets, as well as streets that fall into reinstatement categories 0, 1 or 2.

This definition is provided in the DFT document *Statutory Guidance for Highway Authority Permit Schemes (October 2015).*

In general, within the Permit Scheme the terms “Strategically Significant Streets” and “traffic-sensitive streets” are used interchangeably unless a difference is indicated.

3.2.4 Early Notification of Immediate Activities

Some streets or parts of a street are particularly vulnerable to traffic disruption. For these locations, the Permit Authority may wish to have the earliest possible information about an Immediate Activity to enable it to initiate traffic management arrangements and provide information to the public that will mitigate the impact of the Activity. The Permit Authority will identify these streets within the Permit Authority’s ASD as those where “early notification of Immediate Activities is required”. Section 12.8 provides further detail on emergency traffic management measures.

3.2.5 Other Designations

Where a street or section of street requires the consultation with another organisation, and that organisation has informed the Permit Authority, this will be recorded in the Permit Authority’s ASD.

Organisations that may require consultation with include, but are not limited to:

- The Environment Agency
- Historic England
- The Ministry of Defence
- Network Rail

Other departments of the Permit Authority such as the arboriculture department, Environmental Health, or traffic signals department, may also require consultation. The Permit Authority will provide assistance and advice on what agreements or assurances are required, however the Promoter remains responsible for obtaining them.

It is not necessary to have gained the approval of the relevant Authority prior to submission of the Permit application, and the Permit should not be refused unreasonably. However, it is necessary to have these approvals in place prior to commencement of the Activity, otherwise the Promoter may be committing an offence.

Permit Authority has to take into account the effect of planned activities to a Public Transport provider, such as bus companies, when considering the Permit application. These providers require consultation on the planned works to provide alternative services in order to minimise the impact of works.

Where trees are affected by an Activity proposal, the Promoter should contact the LCC’s arboriculture department. In general, this applies to excavations within the tree ‘prohibited’ zones, as defined in NJUG Publication Volume 4 NJUG Guidelines for the Planning, Installation and Maintenance of Utility Apparatus in Proximity to Tree. However, it is good practice to seek advice from LCC when undertaking an Activity within the ‘precautionary’ zone

3.3 Activities Covered by the Permit Scheme

For the purposes of the Permit Scheme the “specified works” as set out in the Regulations are:

- Street works – as defined in Section 48(3) of NRSWA
- Works for road purposes – as defined in Section 86(2) of NRSWA
- Major Highway Works – as defined in Section 86(3) of NRSWA

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This includes all activities comprising “registerable works” in terms of The Street Works (Registers Notices Directions and Designations) (England) Regulations 2007 and any subsequent amendments. Further details of which activities are registerable and where there are exemptions, are in the NRSWA Co-ordination of Works Code of Practice: these exemptions are included in the Permit Scheme.

Permits must be obtained from the Permit Authority for these works when carried out in a specified street. However street works executed under a street works licence (Section 50 of NRSWA) do not require a Permit but must follow the normal NRSWA procedures through the street authority.

The term “specified works” is used generically in the Permit Scheme Regulations. The term “Activity” is used in this scheme to encompass any Activity that requires a Permit.

The term “Activity” also anticipates subsequent sets of Permit Scheme Regulations, which may extend the scope of Permit Schemes to other activities on the street.

3.3.1 Bar Holes

Bar holes that result in further Activity, e.g. excavation for a gas leak will require a Permit for that Activity. Bar holes that do not result in any further Activity will require a reinstatement registration as described in the NRSWA Co-ordination of Works Code of Practice

When required, an application for a Permit in respect of a bar hole must be made within two hours of the commencement of any other registerable Activity, or in the case of the registerable Activity commencing out of normal working hours within two hours of the commencement of the next working day. In this latter case, these bar holes will not count as further excavations and reinstatements for the purposes of registrations but will be incorporated with the registerable Activity.

3.3.2 Works for Road Purposes

All works carried out by the Highway Authority or on its behalf that fall within the definition of works for road purposes and are registerable works require a Permit.

Works carried out by an Undertaker on behalf of the Highway Authority, for instance new connections or disconnections to streetlights, are works for road purposes. It is for Promoters to ensure that Permit applications for such activities are made and that the Activity is registered, as appropriate.

Activities carried out by Undertakers to connect, disconnect or repair street lighting apparatus that forms part of their network are street works and the Undertaker will require a Permit

3.3.3 Other Highways Activities

Works and repairs for District and Parish Councils acting on their own account and not on behalf of Highway Authority, including works on street lighting etc., are considered as street works and thus will attract the same charges and penalties as any other Statutory Undertaker.

It is for Promoters to ensure that Permit applications for such activities are made and that the Activity is registered, as appropriate.

3.3.4 Obtaining a Permit

Other than for Immediate Activities, any Promoter is required to first obtain a Permit from the Permit Authority before it carries out an Activity.

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Immediate activities require a Permit. However, since such activities are by definition emergency or urgent, an application may be given within two hours of the Activity starting or in the case of the Activity commencing out of normal working hours, within two hours of the commencement of the next working day. An Immediate application should comply with any conditions specified by the Permit Authority whether generic for such activities or specific to one Activity (see Section 5.10).

3.3.5 Activities not requiring a Permit

The following activities do not require a Permit:

The testing of fire hydrants by fire service vehicles or their contractors provided the work is carried out outside traffic-sensitive periods. Activities carried out under a NRSWA Section 50 licences.

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4 How to make Permit Applications

4.1 General Principles

4.1.1 Purpose

Any Promoter of a registerable Activity that wishes to carry out such an Activity must obtain a Permit from the Permit Authority. The intention is to better control activities to minimise disruption and inconvenience and for those activities to be carried out in a manner that takes into account the needs of others.

The Permit will allow the Promoter to:

- Carry out the specified Activity:
- At the specified location,
- Between the dates shown,
- For the duration shown (which is inferred from the start and end dates),;and
- Subject to any conditions that may be attached.

The Permit will include all of the information as supplied by the Promoter in the Permit application; a Permit shall be issued in accordance with the formats given in the Technical Specification for EToN.

Permits will be required for all registerable activities on all streets designated as public highway as specified on the local street gazetteer.

The content of applications and notifications and communications relating to all aspects of the Permit will be made using, and will comply with, the definitive format and content of the protocols as set out in the EToN technical specification, which may change from time to time. Where there is a failure in the system then other methods of communication will be acceptable (see Section 4.8).

4.1.2 Types of Permit

LCC's Permit scheme allows two types of application:

- Provisional Advance Authorisation (PAA). These are only used for Major activities (as defined in Permit Scheme Regulations) which are likely to be large and/or more disruptive and provide advance notice but not necessarily with full details of the final Activity. PAAs are similar to Section 54 notices under NRSWA
- Permit Application (PA). These will contain fully accurate and timely details as prescribed and will be required for all registerable activities, including as a follow-up to a PAA. These are similar to Section 55 notices under NRSWA.

4.2 Activity Categories

The categories of activities in the Permit Scheme are shown below:

4.2.1 Major Activities

Major activities are those that:

- Have been identified in a Promoters' annual operating programme or are normally planned or known about at least six months in advance of the proposed start date for the Activity; or,
- Require a temporary traffic regulation order (not a temporary traffic notice) under the Road Traffic Regulation Act 1984 for any other registerable activities other than Immediate Activities; or,
- Have a duration of 11 days or more, other than Immediate Activities.

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4.2.2 Standard Activities

Standard activities are those activities, other than Immediate or Major Activities that have a planned duration of between four and ten days inclusive.

4.2.3 Minor Activities

Minor Activities are those activities, other than Immediate or Major Activities, where the planned duration is three days or less.

4.2.4 Immediate Activities

Immediate Activities are either emergency works or urgent works:

Emergency works, as defined in Section 52 of NRSWA, are works required to end, or prevent, circumstances, either existing or imminent, that might cause damage to people or property. This applies to both street works and works for road purposes, which fall within the definition of activities. The term also includes activities not falling within that definition but which cannot be severed from those that do – such as activities away from the emergency site that are necessary to shut off or divert a supply. Remedial works to dangerous, defective reinstatements are classed as emergency works (but there will be a need to cross reference these to the Permit given for the parent Activity)

Urgent activities are defined in the Permit Scheme Regulations as activities:

- (Not being emergency works) whose execution at the time they are executed is required (or which the person responsible for the works believes on reasonable grounds to be required):

  (i) to prevent or put an end to an unplanned interruption of any supply or service provided by the Promoter;

  (ii) to avoid substantial loss to the Promoter in relation to an existing service; or,

  (iii) to reconnect supplies or services where the Promoter would be under a civil or criminal liability if the reconnection is delayed until after the expiration of the appropriate notice period; and,
- Includes works that cannot reasonably be severed from such works.

4.3 Provisional Advance Authorisations (PAAs)

In accordance with Permit Scheme Regulation 11, the Permit scheme requires a Provisional Advance Authorisation (PAA) to be sought for Major activities. A PAA is not required for activities classed as Minor, Standard or Immediate.

PAAs provide a mechanism for significant activities to provisionally ‘book’ road space prior to further planning and discussion between the Promoter and the Permit Authority. They replace the NRSWA Section 54 Advance Notice.
A PAA may only contain one street or USRN.

All PAAs must comply with the definitive format and content of both paper and electronic Permit applications given in the EToN technical specification or subsequent amendments. This includes the requirement that a copy PAA is sent to any interested parties or organisations as detailed within the authority’s ASD (see Section 4.4.4).

Applications for a PAA must be made not less than three months in advance of the proposed commencement date of those works. However early starts can be agreed with the Permit Authority. An application for a PAA must always specify proposed start and end dates. However, as it may be difficult to be certain of the start date three months before the event, the proposed start date is regarded as provisional and may be amended in the application for a final Permit.

A PAA must be followed-up by a full Permit application within the required timeframes, as set out in table 1, Section 6.1.

The information required in support of an application for a PAA is set out below. It is recognised that comprehensive information may not be known at this early stage however as much detail should be provided as possible to enable the Permit Authority to adequately assess the submission.

- Location of Activity
- Proposed start and end dates
- An outline description
- Times of working, including hours of the day and any weekend provisions
- The road space occupancy
- Method of working
- Traffic management

The Permit Authority must respond to an application for a PAA within one calendar month from the date of receipt of the application by the Permit Authority. The response may either grant the PAA or refuse it; giving reasons (see Chapter 6).

The information contained within the PAA will provide confirmation as to whether the proposed Activity has the potential to be especially disruptive to local residents, businesses or road users. In such circumstances, the Permit Authority will require the Promoter to provide advance publicity as it deems necessary.

Where the Permit Authority decides that the Promoter needs to provide additional information or undertake a publicity exercise prior to submission of the follow-up Permit application, they will inform the Promoter. This will be part of the ongoing planning and agreement process and the Promoter will be required to provide this information or provide evidence of the publicity exercises undertaken as part of the conditions of the full Permit application.

It is recognised that the dates and the detail of the PAA should be considered as provisional and should any of these details change significantly then the Promoter should inform the Permit Authority of the changes as soon as possible.

A PAA can only be resubmitted, not varied. The Permit Authority may therefore decide that a new PAA is required if the changes are significant. Alternatively, if the Permit Authority feels the changes are less significant then, these changes can be made as part of the full Permit application.

In accordance with Permit Scheme Regulation 11(5), the granting of the PAA does not guarantee that a Permit will be subsequently issued, particularly if the Permit Authority feels that the Promoter has not provided suitable detail as noted above or where dates have changed so significantly they clash with another Activity.

4.4 Requirements for Permit Applications

4.4.1 Timing of Permit Applications

Table 1 in Section 6.1 provides minimum application timescales for PAAs and Permit applications. Larger activities or those on Strategically Significant Streets will have the potential to be more disruptive and therefore require a longer notice period to enable planning and coordination to take place.

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Permits will include conditions under which the Activity may take place so it is in the best interests of the Promoter to contact the Permit Authority early to enable full discussions to take place. Early applications will improve the coordination process, enable the Permit Authority to better manage the activities taking place on the highway and assist the Promoter in better planning their activities. The Permit Authority will provide its contact details, including any out of hours contact information, on its website.

4.4.2 Method of Making Permit Applications

All Permit notifications, including PAAs, Permit applications and variations, should be made electronically and must comply with the EToN technical specification.

The Permit Authority may accept non-EToN applications from Promoters who are unable to meet the requirements for EToN transactions, for instance for one off Promoters. In these cases, applications and notices must comply with the EToN technical specification and may be submitted by email, on agreement with the Permit Authority.

Applications and notifications may be given by email, fax or post to those recipients who expect copies of such notifications but do not have access to EToN, e.g. transport authorities, emergency services or frontages.

Where there is an EToN system failure by either the Promoter or the Permit Authority, an alternative strategy should be implemented as noted in Section 4.8.

4.4.3 Content of Permit Applications

All applications must comply with the definitive format and content of both paper and electronic Permit applications given in the EToN technical specification.

To ensure that information made publicly available can be understood by the general public the description of activities and other information should be in plain English with minimal industry specific jargon.

Each application must contain information about activities in only one street. To improve co-ordination, projects covering more than one street should cross–reference all related applications. This is particularly important when applying for PAAs. Under no circumstances will an application containing activities in more than one street be acceptable.

Where an Activity or project crosses the boundary between authorities the Promoter must submit the relevant notices or Permit applications to each authority. Early discussion with both authorities will help avoid conflicting requirements.

The Promoter should anticipate the affect that an Activity may have on the network of a neighbouring authority when planning the Activity and ensure that this authority is also engaged early in the planning process. Early discussion with both authorities will help avoid conflicting requirements.

All Permit applications relating to a PAA should be cross-referenced so that the Permit Authority is able to consider all applications and coordinate the activities together.

4.4.4 Applications involving other Interested Parties

Any Undertaker, Authority or relevant body or organisation that wish to be informed about any activities on a street should ensure their interest is entered in the street authority's ASD against that street. Promoters must ensure that they provide copies of all PAAs, PAs, variations and notifications to any such interested parties. Similarly, the Permit Authority must ensure that they provide copies of a response to a Permit application to these parties.

Electronic systems meeting the EToN technical specification should deal with this automatically. However, some interested parties may not have access to the electronic systems so they should be sent copies by an alternative method such as email or fax.

The Permit Scheme Regulations amend NRSWA Section 88, 89 and 93. Together with Sections 90 and 91, these deal with notifications to bridge, transport and sewer authorities to ensure that consultation takes place on streets with structures and other special engineering difficulties (as described in LCC's ASD).

Promoters must ensure that they gain approval to plans and Sections when the Activity involves a Special Engineering Difficulty (SED) as detailed in the NRSWA Co-ordination of Works Code of Practice before applying for a Permit and state that they have fulfilled the requirements of these Sections in their applications.

The consultation requirements with Network Rail are as set out in the NRSWA Co-ordination of Works Code of Practice.

4.4.5 Permit Start and End Dates

A Permit will allow an Activity to be carried out between the start and end date (in calendar days) given on the Permit and this will also give the duration of the Activity, whether or not work is actually taking place on all those calendar days. The granted Permit will indicate if the Permit allows an Activity to be carried out on weekends or Bank Holidays.

A Promoter working outside the Permit dates would not have a valid Permit and potentially would be committing an offence. It should be noted that if the Permit should start on a Monday and finish on a Friday, the subsequent weekend cannot be used as additional days without the express approval of the Permit Authority through a Permit variation.

However, in other respects, the duration and Reasonable Period of the Activity remains operating on working days, as defined in the Permit Scheme Regulations. On Strategically Significant Streets, the duration of the Activity will exactly match the time from the start date to the end date excluding any non-working days between the two dates.

The duration (Reasonable Period) for s74 purposes should be the same as the duration given in the Permit, unless the application granted by the Permit Authority has limited the duration for s74 purposes to a period less than the Permit duration. Or where a duration variation has been granted and a Duration Challenge has been issued to limit the Reasonable Period.

An Promoter working beyond the agreed Reasonable Period will therefore be subject to Section 74 overrun charges; even if the Permit Authority has granted a Permit extension to allow, works to be completed where the Permit Authority does not agree with the reasons for extending the works duration (see also Section 7.1.3).

On Strategically Significant Streets, where an Promoter identifies in advance that an Activity cannot begin on the Permit start date then the Promoter should contact the Permit Authority on the previous day, by telephone.

For activities on Strategically Significant Streets where an Activity is delayed on the Permit start date, the Promoter should contact the Permit Authority as soon as possible on the due start date so that the Permit Authority can put into place any additional or mitigating actions it considers necessary.

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The Promoter may decide they are able to begin the Activity on a subsequent day, submitting the Section 74 Actual Start notice. However, there is no automatic extension to the Permit or the Reasonable Period in these circumstances and the end date remains the same unless an agreement is reached between the Promoter and the Permit Authority, and a Permit variation is granted (see Chapter 7).

On non-Strategically Significant Streets, a Permit will be issued with a start and end date, with the duration being the number of calendar days between the estimated start and end dates. Because of the nature of these types of street, the start date will be estimated and there will be a window of opportunity for the works to being equivalent to the validity period of NRSWA notices:

- 5 days for Major and Standard activities
- 2 days for Minor activities

Once the works commence and a Section 74 Works Start notice is submitted, the Permit end date will adjust to take into account the actual start date and the previously agreed Reasonable Period and Permit duration.

In both cases above, if the Promoter could not complete the Activity before the Permit end date, they must apply for a Permit variation to extend the Permit. This would be required even if the extra days were at a weekend (a Permit expires at midnight). The Permit Authority may or may not agree to an extension of the Reasonable Period, depending on the circumstances, and the Promoter may be subject to over-run charges under Section 74.

4.4.6 Non-working Days

If the impact or duration of an Activity can be reduced by extending works on site into weekends and Bank Holidays, then Promoters are actively encouraged to consider these possibilities.

In such situations, the Promoter should include a condition on the Permit application. The Permit Authority may also place additional conditions on the Permit to define any other constraints, as deemed necessary by the Permit Authority (see Chapter 5).

4.4.7 Early Starts

An Activity must not start before the expiry of the application period except where the Permit Authority has agreed an early start.

The Permit Authority will not unreasonably refuse a Promoter's request for an early start. An early start should be applied for by telephone. Once the early start is granted, the Permit application should be submitted with the EToN early start flag selected accompanied by an EToN comment detailing the agreement and with whom it was reached.

4.4.8 Actual Start Notification (Section 74)

Once the Activity has begun, a Notice of Actual Start of an Activity must be given within the time scales required by NRSWA.

4.5 Content of a Permit Application and Provisional Advance Authorisation

In deciding whether to include any conditions in a Permit, the Permit Authority will consider the information that has been provided in support of the application.

The EToN specification provides detail on the required fields to be submitted as part of a Permit application. Additional information or constraints will be provided as part of the condition text.

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The Permit Authority recognises that full information may not be fully known at the time an application for a Provisional Advance Authorisation is made. However, Promoters should make every effort to provide the most accurate information available at each stage.

4.5.1 Reference Number

Each application must include a unique reference number. Details of the numbering system are given in the Technical Specification for EToN.

4.5.2 Description of Activity

This should be a comprehensive description of what the Activity is and its purpose to allow the Permit Authority to assess the likely impact. This should include:

- Detail on the works being undertaken
- Description of methodologies employed
- A description of the layout and impact of the activity Details of any collaborative working; such as details of the other Promoters and brief descriptions of the activities being undertaken
- Any other information pertinent to that activity

To ensure that information made available to the public can be understood the description of activities and other information should be, within reason, in plain English with minimal industry specific jargon.

4.5.3 Location of Activity

An accurate location should be provided based on Ordnance Survey National Grid References (NGRs). For a small excavation or opening then a point NGR should be provided. Where a trench is longer than 10m then a polyline or a polygon feature should be provided as described in the EToN technical specification.

The location should have a textual description that should match the NGR provided.

The street must be given based on the unique street reference number (USRN) provided in the street gazetteer as defined by the National Street Gazetteer Concessionaire. Each Permit may only contain one street.

Where the Activity is likely to cause significant disruption a description of the space taken up by the Activity should be provided. The Permit Authority may request additional information such as a traffic management plan or schematic to show the site footprint.

Promoters applying for immediate activities must do so within two hours of starting work. The location should reflect where the Activity is actually taking place. If the location then changes a Permit, variation must be obtained (see Section 7.1.5).

4.5.4 Timing and Duration

The proposed Permit start and end dates (in calendar days) will clearly define the duration that an Activity will take up road space.

Where the street is traffic-sensitive, details of the times of day the Activity is to be carried out must be provided, including any proposal to work at night, by selecting the appropriate EToN flag, deselecting the relevant designation and using the EToN comments.

Details must be provided where the Promoter proposes to undertake Activity on weekends or Bank Holidays to speed up the Activity or reduce disruption.

These constraints on the Activity will be submitted as conditions and will be taken into consideration by the Permit Authority.

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4.5.5 Illustration

An illustration may be required for any Activity where the Permit Authority considers that the disruption caused by the Activity may be significant.

An illustration must include details of the Activity and location of apparatus and the extent of the highway occupancy. This additional information may be in the form of sections, photographs, traffic management drawings and any other relevant material. The illustration must cover the entire area of the Activity including areas used for storage of materials, parking of vehicles, coned areas and so on. In combination, all of this material will be referred to as the traffic management plan.

Activities on those streets or parts of a street, subject to a Special Engineering Difficulty designation will require a plan and section.

The illustration should be submitted to the Permit Authority as an EToN attachment. Where this is not possible, other electronic means may be used by agreement with the Permit Authority.

If required for Major works, it is expected that this initial illustration of the Activity will be part of the PAA planning process or the discussion resulting from a PAA submission. A final illustration of the Activity being provided at the Permit application stage.

4.5.6 Methodology

Details of the proposed techniques, such as open cut, trench share, minimum dig etc. must be provided as part of the works description.

4.5.7 Traffic Management and Temporary Traffic Regulation Orders

The EToN specification requires certain types of traffic management or traffic control to be indicated on the Permit application. Certain traffic management proposals will also require suitable conditions detailing the constraints on these proposals.

The Promoter should supply details of traffic management proposals together with any requirement for action by the local authority or others such as:

- A need for a Temporary Traffic Regulation Order (TTRO)
- Lifting of parking restrictions
- Approval for temporary traffic signals (TTS)
- Suspension of bus stops

Section 12. provides information on the legal processes for applying for a TTRO and the location of LCC's application process. It also provides further information on other traffic management requirements and related matters, including agreements on the use of temporary traffic signals.

The extra time required for gaining these approvals needs to be taken into account by the Promoter. Where an Activity will require a road closure, a PAA must indicate that a TTRO will be applied for and a Permit must indicate that one has been granted or applied for"..

Additional costs associated with these are not included within the scope of this Permit scheme.

4.5.8 Depth

Promoters must provide their best estimate of the excavation depth. While this might be expressed as a range, it should nonetheless provide a meaningful indication of the nature and extent of Activity involved if it is expected that an excavation will be deeper than 1.5 metres.

4.5.9 Reinstatement Type

The application must indicate whether the Activity will be completed with interim or permanent reinstatement or a mixture of both. If it is the latter, then Promoters must provide details as to where interim or permanent reinstatements will be completed within that Permit.

The EToN technical specification details the use of the 'number of phases' data element which is used to describe this.

Where an Activity takes place in designated high amenity locations and areas with high quality surfaces, the Permit Authority may require a specific reinstatement method to be undertaken for that Activity, in which case suitable comments will be included in the granted Permit.

4.5.10 Inspection Units

The application must state the provisional number of estimated inspection units appropriate to the Activity, in accordance with the rules laid down in the Inspections Code of Practice and *The Street Works (Inspection Fees) (England) (Amendment) regulations 2004*. Where there is trench sharing, only the primary Promoter is required to give the inspection units (see Section 2.1.3).

4.5.11 Contact Person

The application should include the name and contact details of the person appointed by the Promoter to deal with any problems that may occur during the Activity, including any provision made by the Promoter for out-of-hours contact.

On Permit applications (and on PAAs if the information is known at the time) the application should include the name of the main contractor carrying out the Activity. This will help with the Permit Authority's consideration of the application and with any discussions that need to take place before the Permit can be issued.

4.5.12 Proposed Conditions

Where there are constraints in the Permit application, it must include conditions that specify in detail the Activity and support the application. These conditions are based on the Statutory Guidance for Permit Conditions. See also Chapter 5.

Where the Permit Authority considers necessary it will also request that certain conditions be added to the application before issuing the Permit.

Permit conditions in addition to the mandatory ones might be applicable to any Permit.

4.6 Phasing and Multiple Activities

A phase of an Activity is a period of continuous occupation of the street (whether or not work is taking place for the whole time) between the start and completion of the works.

One Permit can only contain one phase and the dates given in a Permit application will denote the dates for that phase. A phase can end only when all the plant, equipment and materials, including any signing, lighting and guarding have been removed from the site.

The Promoter should clarify that an Activity is to be carried out in more than one phase on the application (see Section 4.5.9).

Phased activities must relate to the same works. These could be single or multiple-but-linked excavations, or a trench dug progressively along the street as part of a continuous operation, or where a permanent reinstatement or remedial works are undertaken at a later date.

Linked activities carried out at separate locations in a street must be treated as belonging to the same set of works. However, unconnected activities carried out by the same Promoter in one street should not be treated as parts, or phases, of a single set of works.

Each phase will require a Permit and the same Activity reference must be used for all phases, or cross-referenced to the other phases. If the works are classed as Major they will also require a Provisional Advance Authorisation, except in the case of remedial works see Section 4.6.5. Each phase will be classed as a separate Activity or works, for the purposes of NRSWA (for instance Section 74, guarantee periods etc.).

4.6.1 Cross Boundary Activities

Where an Activity or project crosses the boundary between authorities the Promoter must submit the relevant notices or Permit applications to each authority. Early discussion with both authorities will help avoid conflicting requirements.

Where it is anticipated that an Activity may impact the network of a neighbouring authority then the Promoter should take this into consideration when planning the Activity and ensure that this authority is also engaged early on in the planning process. Early discussion with both authorities will help avoid conflicting requirements.

4.6.2 New Customer Connections

A new main or cable run, which includes new customer connections, can be classed as one Activity or phase if all the work is completed in a single occupation of the street. Otherwise, a new Permit must be obtained for the different stages.

4.6.3 Projects

Activities involving more than one street could form part of one project in management and contractual terms but separate Permits and Provisional Advance Authorisations will be required for each street. The EToN technical specification allows for project references, Activity references and phase types.

4.6.4 Interim to Permanent Reinstatements

When an Activity is completed with an interim reinstatement then the Activity will be regarded as having more than one phase and a new Permit must be obtained for the permanent reinstatement phase. The same works reference number must be used (“cross referenced” to the original Activity).

4.6.5 Remedial Works

Remedial works will require a new Permit to be obtained for the remedial phase. The same works reference number must be used as the original Activity (“cross referenced” to the original Activity). All remedial works will fall into one of the works categories as referenced above in Section 4.2

Where remedial works fall within the definition of Major works, a Provisional Advance Authorisation will not be required.

4.6.6 Severable Works

The definition of Emergency Works in Section 52 of NRSWA provides that items of work which “cannot be reasonably severed” from the emergency works are regarded as part of them. The same test applies to urgent works.

Work which can be “reasonably severed” from the Immediate Activity should therefore be regarded as separate activities and classified accordingly.

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Typically, immediate activities shall consist only of a repair to end the emergency, or restore the service, and complete the necessary reinstatement. Follow-up activities undertaken to provide a permanent solution are “severed” and subject to a separate Permit application.

If the Promoter leaves site after dealing with the immediate problem, including carrying out an interim reinstatement and closing down the site, and returns later for further activities - it is clear that these are “severed”.

4.6.7 Interrupted Activities

There may be circumstances where a Promoter is unable to complete their Activity in one phase as originally intended. This may be due to difficulties that could not have been reasonably foreseen, for instance adverse weather conditions or an engineering complication. The Promoter should contact the Permit Authority immediately this becomes apparent.

If the Permit Authority is content for the excavation to remain open then a Permit variation will be required to extend the current Permit. The Permit Authority may not consider the reason for the extension to be acceptable and may not extend the ‘Reasonable Period’; in such cases it should be noted that the Activity would therefore be subject to Section 74 overrun charges (see Chapter 9).

If the Permit Authority wishes the excavation to be closed down, reinstated, and the road returned to use then agreement should be sought with the Permit Authority on the timing of the subsequent Permit to complete works at a later date.

Whenever an Activity is interrupted, the Promoter should first agree a way forward with the Permit Authority before starting any of the processes above. Failure to do so may result in the Permit Authority treating the subsequent application as an illegitimate use of Activity phases (see Section 7.1.4).

4.6.8 Third Party Damage

If third party damage caused by the Promoter or his contractor results in the Activity being interrupted, then it is the Promoter’s responsibility to seek the authority’s approval to a variation to allow the damage to be repaired by the owner of the apparatus. The Permit Authority will respond to the variation request in one of the following ways:

- Grant the variation and extend the s74 duration
- In exceptional circumstances grant the variation without extending the s74 duration
- Refuse the variation and request the initial Activity is closed and repairs to the third party damage continues under the Permit from the third party Promoter (see below)

In the interests of good practice, a Permit is required by the third party while they are undertaking these works to help the Permit Authority identify that another party is working at this location. This Permit will be chargeable and Section 74 charges apply to the third party. (see Chapter 7).

Where the variation to the original Activity is granted the Activity site and the reinstatement remains the responsibility of the original Promoter, unless this is agreed otherwise between all Promoters and the Permit Authority e.g. if the third party has to substantially extend the excavation, until it is able to clear site and issue a Works Stop notification. Where the original Activity Permit is closed and a new one granted to a third party for the repairs, each Promoter will be responsible for their respective reinstatements.

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4.7 Section 58 Restrictions on Further Activities

The powers to restrict further works in all or part of a street following substantial road or street works (NRSWA Section 58 and 58a respectively) apply to streets covered by the Permit scheme.

The Permit Authority will exercise its powers under these Sections in accordance with the guidance given in the NRSWA Co-ordination of Works Code of Practice. Whilst these powers only apply to Undertakers, the Permit Authority will apply them in a similar manner to Permits for highway activities in the interests of parity.

4.8 EToN System Failures

Where there is a failure of the Permit Authority or a Promoter EToN system, the Permit Authority will implement an interim alternative strategy for managing Permit applications, variations, responses and other notifications to ensure that workflows are not unduly interrupted.

All applications and notifications must be resubmitted through EToN following recovery of service. Promoters must ensure that all resent notices are sequenced correctly as detailed in the EToN technical specification.

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5 Conditions

5.1 General Principles

The Permit must specify the Activity it allows in detail. The Permit conditions will reflect any other limits or constraints on the Activity as provided for in Permit Scheme Regulations 10.

The conditions of the Scheme will be those set out within the Statutory Guidance for Permit Conditions. The conditions may be applicable to any Activity. It is for the Promoter to supply the required conditions as part of their Permit application or Permit variation.

The Statutory Guidance for Permit Conditions contains conditions that will be applied to all Permits, or Permits for certain kinds of Activity in all cases. There is therefore no requirement for Promoters to attach these conditions to their Permit Applications.

For conditions that are not applied to all Permits, or to Permits for certain types of Activity in all cases, when using conditions from the Statutory Guidance for Permit Conditions. The Promoter will not be required to apply the entire condition text; instead, the relevant shorthand text contained within the Statutory Guidance for Permit Conditions may be applied with any required constraints or necessary detail.

Where the Permit Authority considers it necessary and appropriate to apply conditions that differ from the proposals in the application, then the Permit Authority will either refuse the Permit or request a modification (see Section 6.1.2), stating the reasons for this. The Promoter may then decide whether to reapply for a Permit or invoke the dispute procedure with the Permit Authority as detailed in Chapter 11.

If the Permit Authority considers that an Promoter is failing to comply with the conditions of a Permit, then it may revoke the Permit. Before revoking a Permit, the Permit Authority will contact the Promoter to warn them of its intention and discuss the situation.

Failure to comply with conditions may leave the Promoter liable to criminal prosecution. Information about appealing against conditions the Promoter considers unreasonable is set out in Chapter 11.

5.2 Timing and Duration of Activity

It may be considered necessary and appropriate to limit the days and times of day when an Activity may be carried out. In these cases, a Permit Condition for a date or time constraint will be attached to the Permit. Scenarios include, but are not limited to:

- To maintain traffic lanes during peak periods the site may only be occupied
- Between certain times on certain days
- To limit activities that might affect an event on the public highway
- To restrict works on weekends or Bank Holidays

These conditions may also be used to formalise extended and out of hours work patterns. For instance, if there has been an agreement to carry out an Activity in the evening or at night, or that an Activity should take place, or is prohibited, at any time on weekends and Bank Holidays.

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5.3 Road Space

The amount of space that activities in the highway occupy can have a major impact on congestion and disruption levels. Equally, the impact of a relatively small Activity could be magnified considerably if associated plant and excavated material take up a substantial area, possibly resulting in lane restrictions and temporary traffic control.

The Permit Authority recognises that any conditions relating to the area of occupancy have to be realistic and allow the Activity to be carried out in compliance with statutory guidance and codes of practice, especially in relation to safety, and within the restrictions imposed by the available industry resources and technical capabilities.

Where a traffic management plan or illustration is required, a Permit Condition will be attached in order to reference this. Such an illustration may also include locations of where materials and plant are to be stored on site as well as the wider traffic management or site footprint (see Section 4.5.5).

For an Immediate Activity, the works area may be agreed after the works have started on site. Where changes to the site are agreed, these must be implemented within an agreed timeframe and a Permit application with the relevant condition must be submitted as soon as practicable, but no later than 10:00am on the next working day.

Where disruption can be minimised by the removal of both plant and/or materials that are unnecessary then a Permit Condition for a material and plant storage constraint will be applied. The conditions should only be used where the storage of the materials and/or plant may cause problems on site or impede traffic unnecessarily.

The Permit Authority may impose a Permit Condition after an Activity has begun if it becomes clear that the site requires more space than anticipated, or is being managed in a way that is detrimental to the network operation. In these cases the Promoter must comply with the Authority Imposed Variation (see Section 7.2) or the Permit Authority may use its provisions under Permit Scheme Regulation 18.

5.4 Traffic Management Provisions

The way traffic is managed during an Activity can have a major influence on congestion and disruption.

Promoters should use a Permit Condition to reference any traffic management plans or illustrations as detailed previously.

There may be occasions where additional approvals are required and a Permit Condition should be used to reference these. This includes, but is not limited to:

- Agreements for the use of temporary traffic signals. It should be noted that all use of temporary traffic signals require the approval of the Authority (see Section 12.10)
- A Temporary Traffic Regulation Order or Notice in order to close a road, or
- Section of a road, or to restrict traffic (Section 12.1)

Any applicable reference number should be quoted in the condition if approval has been gained. It is not necessary to have gained the approval of the relevant authority prior to submission of the Permit application, and the Permit should not be refused unreasonably. However, it is necessary to have these approvals in place prior to commencement of the Activity otherwise the Promoter may be committing an offence.

5.5 Methodology

It is accepted that the Permit Authority may not be in a position to make an engineering judgement on the methodology employed by the Promoter. However, under its duties to minimise congestion and disruption the Permit Authority should be satisfied that the methodology employed is best able to militate against disruption and inconvenience as well as taking into account the practicalities of working and safety.

Where there is an agreement for a specific manner in which the activities are to be carried out (typically where the method is not the normal way of working), then a Permit Condition for a work methodology constraint may be applicable.

5.6 Consultation & Publicity

It is likely that many Major Activities, particularly those with durations of 11 days or more, will require comprehensive publicity and consultation.

The timescales involved in Major works should allow much of this to take place during the PAA stage. A provisional condition will be attached to the PAA and on submission of the Permit application, the Promoter will provide evidence that this has taken, or is taking, place and this will be reflected in a Permit Condition for a consultation and publicity attached to that Permit.

Where non-major activities have the potential to be especially disruptive to local residents, businesses or road users, the Permit Authority may expect the Promoter to provide advanced notice to nearby households or businesses or to provide advance signs for traffic. A Permit Condition for a consultation and publicity constraint should be used to reference these agreements and requirements.

5.7 Environmental Conditions

Where the disturbance from noisy work is likely to be substantial, the Permit Authority should take into account local factors, such as businesses, schools, hospitals etc., when agreeing what hours an Activity may take place. In these situations the type of works taking place at any point during the Activity may need to be limited to certain times, for instance ensuring the noisy element of an Activity only takes place during part of the day.

In such cases, a Permit Condition for an environmental constraint should be used to limit the environmental impact. The Promoter may be required to contact the authority's Environmental Health Officers to agree the proposals, and a Permit Condition will be attached as described in the previous section.

5.8 Conditions for Exceptional Circumstances

There may be circumstances where the Permit Authority requires a specific condition to be added to a Permit that is not defined with the Statutory Guidance for Permit Conditions.

In such circumstances, which by their nature will be exceptional, the Permit Authority will follow the Statutory Guidance for Permit Conditions for the application of this condition.

5.9 Permit Conditions attached to Highway Works

Conditions may be imposed on all Permits, regardless of Promoter.

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Permit Scheme Regulation 10(3) allows the Permit Authority to attach a condition to a Permit in respect of works to be carried out by or on behalf of a highway authority, requiring the Highway Authority to consult with any person who has apparatus likely to be affected by the Permit works. This condition will normally be applied to Permits for Highway Authority works.

In these instances, the Permit Authority will require the Highway Authority and its contractor to take all reasonably practicable steps to comply with any requirement made by that person which is reasonably necessary for the protection of the apparatus or for securing access to it.

5.10 Conditions Placed on Immediate Activities

Immediate Activities are by definition emergency or urgent and therefore may commence without a Permit being in place.

Permit Scheme Regulation 13 provides for the Permit scheme to impose conditions on an Activity that is not the subject of a Permit, effectively the period of time between an Immediate Activity starting on site and the issuing of the Permit.

An application for Immediate Activities must be given within two hours of the Activity starting or in the case of the Activity-taking place out of normal working hours, within two hours of the commencement of the next working day.

At any stage of an Immediate Activity, where the Promoter requires the use of temporary traffic signals or to shut a street that is designated within the authority's ASD as one where "early notification of Immediate Activities is required". The Promoter should contact the Permit Authority prior to implementing these traffic management provisions using the contact details in authority's ASD.

Section 12.8 provides further detail on emergency traffic management measures.

It is accepted that for Immediate Activities, very little may be known about the location of the Activity prior to attendance on site. The Promoter should make every effort to supply additional conditions if required, based on the information provided from site.

The Permit Authority may impose conditions on Immediate Activities where it feels necessary to do so. The imposition of such conditions will be reasonable, and based on the Permit Authority's knowledge of a particular location or area and the implications such an Activity might have on the network or for safety. If the Permit Authority intends to impose conditions at the time of the Permit application, it will grant the Permit as applied for and then issue a Permit variation containing the conditions. A Permit variation will also be issued if conditions need to be imposed after the Permit is granted.

Prior to the issuing of a Permit for Immediate works, the Promoter must work within the terms and conditions supplied in its original application. Also those conditions in the Statutory Guidance for Permit Scheme Conditions that apply to all Permits and are not required to be included in the application.

Where other approvals might be required (for instance bus stop suspensions, TTROs etc.) then these should be submitted as soon as reasonably possible. This will ensure that the Permit Authority is fully aware of potential problems at that location, and is able to give advice and assistance quickly and effectively and to ensure that the Promoter acts responsibly and is not undertaking an Activity without the required approvals and a Permit Condition may be required retrospectively to reference these approvals.

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6 Issuing a Permit and other Responses

6.1 Permit Responses

In accordance with Permit Scheme Regulation 16, the Permit Authority will respond to all Permit applications within the timescale set out in table 1 below. A response corresponds to an EToN notification of Grant Permit or Refuse Permit or Permit Modification Request, or any other required future EToN notification.

The Permit Authority will act reasonably in reaching decisions with respect to applications for a Permit. In particular, they will consider whether issuing the Permit will accord with their statutory duties to co-ordinate and to manage the network and the objectives of the Permit scheme.

Application and Response Times (in Working Days)							
				Response times for The Permit Authority			
Activity Type	**Minimum application periods ahead of proposed start date**		**Minimum period before Permit expires for application for variation (including extension)**	*For, issuing a Permit or giving a PMR or refusing a Permit*		*To Modify Permit Application (with no change to original start and finish dates)*	*To respond to applications for Permit Variations*
	Application for Provisional Advance Authorisation	**Application for Permit**		**Application for Provisional Advance Authorisation**	**Application for Permit**		
Major	3 months	10 days	2 days or 20% of the original duration whichever is the longest	1 month	5 days	2 days or any remaining original application response period, whichever is the longest	2 days
Standard	n/a	10 days		n/a	5 days		
Minor	n/a	3 days		n/a	2 days		
Immediate	n/a	2 hours after		n/a	2 days		

Table 1: Application and Response Times

6.1.1 Issuing a Permit

If the Permit Authority is content that all the information contained in the application meets an acceptable standard of detail to enable it to consider fully the impact of the Activity and the suitability of the timing and methodology and any conditions attached to the application, it will issue a Permit by way of a Grant Permit ETON notification.

Each Permit issued will be given a unique reference number. The Technical Specification for EToN contains the details of the numbering system.

6.1.2 Amending a Permit Application

If it is necessary to seek further clarification of the information contained in the application then the Permit Authority will endeavour to resolve this within the mandatory response times so that the estimated start date and duration of the original application remains.

The Permit Authority should submit a Permit Modification Request EToN notification to allow the Promoter the opportunity to make amendments to their application and resubmit this within the required timeframe.

As long as the timeframes are met, the original start and end dates of the first application can be kept and no early start agreements are required.

If the Modification Application is not subsequently submitted within the required timeframes then in accordance with Permit Scheme Regulation 16(3) the Permit Authority will consider the application refused.

The EToN technical specification sets out the requirements and timelines in more detail.

6.1.3 Refusing a Permit

A Permit Authority cannot refuse a Permit for legitimate activities. However if the application does not contain the required information to the satisfaction of the Permit Authority then the Permit Authority will refuse the Permit by way of a Refuse Permit EToN notification.

A Refused Permit must clearly detail the reasons for refusal so that the Promoter is able to amend their subsequent application.

Grounds for refusal of a scheme compliant Permit application will always relate to the Permit Authority's responsibility to discharge its Network Management Duty. This list below provides examples of such grounds but is not considered to be exhaustive and the Permit Authority may refuse a Permit application on other grounds.

- Conflicting activities/events
- Environmental considerations
- Conflict with other Statute
- Accuracy of/Conflicting/missing information
- TTRO/PTS approvals
- Works Methodology
- Timing
- Location
- Duration
- Section 58/58A restrictions
- Traffic Management
- Road Occupation dimensions
- Traffic Space dimensions
- Consultation and publicity
- Missing Conditions
- Public transport disruption

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Where an application has been refused and the Promoter is able to submit a suitably amended application that requires an 'early start' (see also Section 4.4.7) to maintain the original requested time slot, the Permit Authority will endeavour to agree the same start date. However, this is at the discretion of the Permit Authority being confident in the amended application and that there is no subsequent conflict with another Activity.

Where other activities are scheduled to take place in the same street, or other streets affected by the proposed Activity at the same time, the Permit Authority may refuse a Permit for the period requested but propose to grant it for different times. The refusal should clearly state a suitable timeframe, or invite the Promoter to contact the Permit Authority to discuss acceptable options before applying for a new Permit.

6.1.4 Deemed Permits

When the Permit Authority fails to respond within the required timescales, or where for technical reasons the response does not reach the Promoter within the required timescales, that Permit is considered to be deemed to be granted.

In these situations, the Promoter is at liberty to continue to undertake their Activity in line with their original Permit application. However, the Activity should not take place in a manner different to that intended by the original application and indicated by the Permit content and proposed conditions.

When it becomes apparent to the Permit Authority that a Permit has deemed, then it is good practice for the Permit Authority to consider the Permit as it stands and contact the relevant Promoter only if it becomes clear that the Activity should not proceed as detailed. This might be where a conflict between activities is likely, or where the Activity is likely to cause considerable disruption that could be mitigated through discussion and changes.

In these cases, following the discussions between the Permit Authority and Promoter a variation will be issued see Section 7.2.

6.2 Right of Appeal

The Promoter has a right of appeal, detailed in Chapter 11, if it is unable to reach agreement with the Permit Authority over the terms it requested or the conditions attached. In the case of Immediate activities it may be that work has to stop until the issues are resolved.

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7 Variations to Permits

Changing circumstances, for either a Promoter or an Authority, may require Permits and/or the conditions attached to them to be varied. This might be because of a changing situation on site, or unexpected events affecting the network requiring a reconsideration of the way the Activity is being carried out.

Permit Scheme Regulation 15 provides for the Permit scheme to allow Permit variations. Variations to a Permit must be made before the Permit expires or passes its end date. The method and content of applying for a Variation notification are detailed in the EToN technical specification.

As set out in Section 4.3, a PAA cannot be varied. In circumstances where the details of a PAA have changed but a full Permit has not yet been issued, the Promoter should inform the Permit Authority of the proposed changes and the Permit Authority will indicate whether a new PAA is required or a Permit Application containing the new information should be made.

7.1 Variations initiated by the Promoter

7.1.1 Necessary Variations

From time to time, an Promoter will need to apply for a justifiable variation to a Permit and/or its conditions. Some situations where a variation may be needed are:

- Because the proposal in the original application was inaccurate or unrealistic
- Because the location or the method of working has changed in some way
- Where the Promoter requires an extension to the agreed duration

The Permit Authority recognises that it should not prevent necessary Activity, so the variation is likely to be granted, although the Permit Authority may require the conditions attached to the original Permit to be varied or new conditions added if the changes to the Permit warrant it.

7.1.2 Applying for a Variation

The Promoter should make a request to vary the Permit as soon as it becomes clear that the Activity might require a change or may overrun so that the Permit Authority can investigate the request to satisfy itself that the proposed variation is appropriate and reasonable.

Permit scheme regulation 15 (2) provides that the scheme shall specify the manner and time of applying for a Permit variation; the DfT Statutory Guidance requires that the following standards be used:

- Where the existing Permit has more than 20% of its duration or more than two days to run, whichever is the longer, the Promoter should apply for a variation electronically. This is to ensure that the variation is captured within the Permit Authority mandatory response time
- In any other case the Promoter should first telephone the Permit Authority to ascertain whether the Permit Authority is prepared to grant the variation. If the Permit Authority agrees then the variation should be applied for electronically.

It should be noted that a Permit cannot be varied after it has expired (passed the Permit end date). In these cases, a new Permit must be applied for. The Promoter may be working illegally during this period.

Promoters should provide full details of the amendments required to a Permit in the Permit variation application to enable the Permit Authority to fully consider the implications of the changes.

If the Permit Authority is content that all the information contained in the application meets an acceptable standard of detail to enable it to consider fully the impact of the Activity and the suitability of the timing and methodology and any conditions attached to the application, it will issue a Permit by way of a Grant Permit EToN response. A standard Permit variation charge will apply.

The Permit Authority will respond to the request within two days of receipt (as shown in Table 1, Section 6.1.

If electronic systems fail then the application should be sent by another way such as email (Section 4.8).

7.1.3 Extensions

In certain situations, a Promoter may not be able to complete the works within the original Permit duration and an extension to the Permit may be required.

The Permit Authority is under no obligation to allow an Activity to run beyond its Permitted period. An Activity that continues past its end date without a valid Permit in place may constitute a criminal offence.

Where the Permit Authority considers the proposed extension to be reasonable and the Activity does not conflict with other planned activities then the Permit Authority will not unreasonably withhold the extension.

There may be occasions where the Permit Authority does not consider the proposed extension to be reasonable. For instance, this might be due to poor works management by the Promoter or an issue on site that the Permit Authority considers should have been dealt with more expediently. In these cases, the Permit Authority will grant a variation to the Permit so that the Promoter is not operating without a valid Permit in place but will not extend the S74 Reasonable Period. The Permit Authority will use its powers under Section 74 of NRSWA to charge the Promoter for an overrun of the original 'Reasonable Period'.

Although in many cases, the Permit Authority will grant the Permit extension to minimise the disruption of a return visit, it may be necessary for the Promoter to vacate the street to allow another Activity to take place or to open up space for traffic. In these situations, the Promoter must submit a new application to complete the Activity on another date.

7.1.4 Illegitimate Phasing of Activities

Where the Permit Authority can establish to its reasonable satisfaction that a subsequent Permit application has been made at any given location as a result of:

- The closure of works following a refusal by the Permit Authority to grant an extension to the duration of a previous Permit, or
- The premature closure of the works by the Promoter, before all those works specified in the works description given by the Promoter are completed, to avoid an overrun under Section 74 occurring.

The Permit Authority may grant a subsequent Permit with start and finish dates to allow the initial Activity to be completed. The duration for this subsequent Permit will reflect the illegitimate phasing of activities for these works and overrun charges will be applied in accordance with the current Section 74 regulations.

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7.1.5 Multiple Excavations

Immediate activities may require the Promoter to make several registerable openings in a street, for instance to locate a fault or a leak. As such, the Promoter must submit the first Permit application detailing the location of the initial excavation within two hours of starting work.

The Promoter should telephone the Permit Authority within two hours and give the location for further excavations on the same street within 50 metres of this initial excavation. No Permit variation will be required and therefore no charge will be applied.

Where the additional excavations are more than 50 metres from the first, a Permit variation application will be required. A standard Permit variation charge will apply. The Permit Authority may opt to waive this charge if it feels the Activity and notifications are being well managed.

Further excavations will be dealt with in the same way as these two examples, in 50 metre bands.

It should be noted that all excavations should be accurately recorded upon registration of the works.

If additional excavations are carried out in different streets (different USRN), or at a location that is substantially separate from the previous excavations then a separate Permit application should be applied for.

If the Promoter has made all reasonable efforts to contact the Permit Authority by telephone and cannot, they should record that and send the message electronically.

7.1.6 Fees for Promoter Initiated Variations

Applications for Permit variations initiated by the Promoter may be charged a fee. This is subject to the exemptions detailed in Chapter 8.

Where a variation to extend a Permit takes that Permit into a higher works category, the Promoter will be required to pay the difference between the Permit fees for the two categories as well as the Permit variation fees.

7.2 Variations Initiated by the Permit Authority

7.2.1 Necessary Variations

Once a Permit is issued, the Promoter should have reasonable confidence that the road space will be available to them. Nevertheless, there may be circumstances beyond the Permit Authority's control that necessitate a change in either the Permit or its conditions.

Such changes should happen, only when the new circumstances could not have been reasonably predicted and where the impact is significant. For example, extra traffic is being diverted onto the road for which the Permit has been issued due to another road being closed by floods, burst mains or a dangerous building, etc. If the consequent disruption cannot be mitigated in a better way it may be necessary to vary aspects of the Permit such as the time or manner of working.

The Permit Authority should contact the Promoter as soon as it becomes aware of a potential problem to discuss the best way to deal with the situation. However it is vital that both parties work together to ensure the circumstances on the ground can be properly coordinated and managed, while ensuring the Promoter can best manage their changing situation to minimise further inconvenience and disruption and expedite the works swiftly.

If changes to the Activity are required, the Permit Authority will issue an Authority Imposed Variation EToN notification to annotate the required changes.

If the Permit variation requires the Promoter to suspend their operation or leave site. This should be agreed first between the Permit Authority and Promoter.

The Permit Authority recognises that requesting a variation to a Permit may cause substantial disruption to the Promoter. However where agreement cannot be reached, the Permit Authority will issue an Authority Imposed Variation EToN notification to direct the changes it feels necessary to best manage the Activity on the ground. The Promoter must comply or reinstate and leave site. The Promoter may then invoke the dispute resolution procedure set out in Chapter 11.

7.2.2 Fee for Authority Initiated Variations

No fee is payable for Permit variations initiated by the Permit Authority, unless at the same time, the Promoter seeks variations, which are not the result of the circumstances, causing the Permit Authority action. In such a case, a variation fee would be payable, subject to the exemptions detailed in Chapter 8. The Permit Authority should act reasonably in this matter.

7.3 Suspension, Postponement or Cancellation of a Permit

There is no mechanism in the Permit Scheme Regulations to formally suspend or postpone a Permit, only for varying or revoking it them.

If the Permit Authority has to suspend or postpone an Activity that it has already issued a Permit for but which it intends should happen at a later date, it should use the Permit variation provisions as described above to enforce the change of dates. No fee will be charged for such authority-initiated variations.

7.3.1 Suspension or Revoking a Permit

Permit Scheme Regulation 10(4) allows a Permit Authority to revoke a Permit where it considers that an Promoter is failing to comply with the terms of that Permit and its conditions.

The Permit Authority will inform the Promoter immediately if it becomes necessary to do so and allow a reasonable timeframe for the Promoter to either suspend its activities pending an agreement to continue working or to make the site safe and leave site. Where necessary the Permit Authority may use its provisions under Permit Scheme Regulation 18 to clear the street or take any other action necessary.

The Permit Authority should consider whether other sanctions are more suitable or necessary, in addition to the revoking of a Permit (see Chapter 10).

Where a new Permit or Permit variation is required to resume an Activity, a fee will be payable in line with the Permit charges, unless the Permit Authority has to revoke a Permit through no fault of the Promoter in which case there will be no charge for a replacement application (see Section 8.3).

7.3.2 Cancelling a Permit

If a Promoter wishes to cancel a Permit or withdraw a Permit application for which they have no further use, they should submit a cancellation notice for that Permit, as detailed in the EToN technical specification. The cancelation notice should be submitted within 2 working days beginning with the date on which the Permit start date ceases to have effect.

In addition to submitting a cancellation notice on Strategically Significant Streets the Promoter should inform the Permit Authority on the day before the due Permit start date by telephone so that the Permit Authority can put in place any mitigating action it feels necessary. There is no fee for cancelling a Permit although the charge for issuing the Permit originally will remain payable.

Any Activity that takes place after a Permit is cancelled may constitute a criminal offence.

A Permit that is 'in progress', or one for Immediate activities, should not be cancelled unless that works status has been submitted in error. The EToN technical specification details how these situations should be dealt with.

7.4 EToN Failures

Where there is an EToN system failure by either the Promoter or the Permit Authority, an alternative strategy should be implemented (see Section 4.8).

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8 Permit Charges

8.1 Introduction

Under Permit Scheme Regulation 30 the Permit scheme is able to charge Statutory Undertakers a fee in the following circumstances

- The application of a provisional advance authorisation
- The issue of a Permit
- The variation of a Permit or the conditions of a Permit
- The difference between fees for an Activity when it moves from one works category to another

8.2 Fee Levels

The Permit Authority will set its fee levels in accordance with the DfT Statutory Guidance for Permits (October 2015), and in accordance with the maximum fee levels specified in Permit Scheme Regulation 30.

Fees for the Permit Authority are on their web site.

Income from the scheme will only be used to meet the allowable costs of running the scheme.

8.3 Waiving Permit Fees

Permit Scheme Regulation 30 also provides a mechanism for discounting or waiving the normal Permit fee. Under the Permit scheme, a Promoter will not be charged a fee:

- If the Promoter is a Highway Authority or is carrying out Works for Road Purposes (works on behalf of a highway authority)
- If a Permit is deemed to be granted because the Permit Authority had failed to respond to an application in the time required
- If a Permit variation is initiated by the Permit Authority
- Where the Permit Authority has to revoke a Permit through no fault of the Promoter the Permit fee will be refunded to the Promoter
- For the maintenance of fire hydrants carried out by the fire service or a contractor designated by the fire service to carry out this work on their behalf
- Where the works are Diversionary Works as a result of a Major Highway or Bridge works, initiated by the Highway Authority, as described in Section 86 of NRSWA
- Any other circumstances as detailed within Permit Scheme Regulations

In addition, where the Permit Authority considers it merited, it may waive an individual charge.

8.4 Reduced Permit Fees

A minimum discount of 30% will be applied in the following situations:

8.4.1 Collaborative Works

Permit Scheme Regulation 31(4) provides for a Permit fee discount where Promoters are collaborating, either in timing or in extent of the programmed Activity, to reduce the impact of their works. This includes where Statutory Undertakers are collaborating with Highway Authority works.

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The Permit Authority should be satisfied that all activities are designed and are being undertaken in a manner that minimises the impact of the works. All Promoters must apply for a Permit and these must be cross-referenced to one another so that the Permit Authority is able to identify the scope of the collaborative working. The applications must be made within three days of one another.

8.4.2 Multiple Applications for Single Activity

The Statutory Guidance for Permits requires the Permit Authority to apply a discount where an Promoter submits multiple Permit applications where an Activity is part of a project that involves working on more than one adjacent street. For example if repairs on a pipe go round a corner from one street into another. It is not intended to cover whole area wide projects in a single Permit.

8.4.3 Working only outside Traffic Sensitive Times

A discount will be applied where an Promoter is able to undertake their works wholly outside of traffic-sensitive times.

In general, this is only applicable on works that are less than one-day duration since these can fall between or after peak periods. However, this discount should also be applied to works where carriageway impact is minimised for peak or traffic-sensitive periods, for instance opening up the carriageway by using plating, or a change of traffic management/control etc. when operatives are not working on site.

Suitable Permit conditions would need to be attached (Chapter 5), and it would be necessary to gather evidence from site (for instance photos or inspection records) to show that this condition was being maintained for the duration of the Activity or as agreed. Suitable evidence provided by the Promoter or contractor should be acceptable as long as it meets the requirements of the Permit Authority to ascertain compliance.

8.4.4 Other Situations

The Permit Authority may waive an individual charge or offer a discount where it considers such action is merited.

8.5 Additional Charges

Where a variation to extend a Permit takes that Permit into a higher works category, the Promoter will be required to pay the difference between the Permit fees for the two categories as well as the Permit variation fees.

8.6 Fee Review

The Permit Authority will review its level of fees in line with the current regulations and statutory guidance to ensure that the overall fee income does not exceed the allowable costs. The outcome of the fee reviews will be published and open to public scrutiny.

If a sustained surplus or deficit occurs over a number of years the fee levels will be adjusted accordingly.

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9 Charging for Overrunning Activities

The Permit Authority will operate an overrun-charging scheme under Section 74 of NRSWA, alongside this Permit scheme.

The scheme will apply as set out in the Street Works (Charges for Unreasonably Prolonged Occupation of the Highway) (England) regulations and any future amendments as detailed in regulations or the relevant code of practice.

Permit Scheme Regulation 37(4) modifies Section 74 of NRSWA to allow the duration of the Activity to be set or modified through the Permit application and variation process.

Where the Permit Authority has reason to believe that overrun charges are being avoided through the misuse of Permit phases, it will treat a subsequent Permit application as an illegitimate use of phases (see Section 7.1.4).

Activities carried out by, or on behalf of, a Highway Authority are not subject to Section 74 overrun charges. However, under the Permit scheme Promoters of such activities will be required to follow the same procedures as Promoters who are Undertakers. The Permit Authority will inspect such activities in the same way as an Undertaker's Activity and will carry out any evaluations, *in accordance with the Permit Scheme Regulations*, equally to all Promoters.

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10 Permit Offences and Sanctions

10.1 Permit Offences

The Permit Scheme Regulations create two offences for Statutory Undertakers:

- Carrying out activities on the street without a Permit, or in the case of Immediate works not applying for a Permit within two hours of the works starting
- Carrying out activities on the street or highway in a way that contravenes the conditions attached to a Permit, or the conditions that are applied to an Immediate Activity before a Permit is issued for those activities.

Permit offences do not apply to Highway Authority activities; however, the Permit Authority will monitor these activities in the same way it does Statutory Undertakers to ensure a consistent approach (see Chapter 13).

Immediate Activities may start without a Permit in place; however, the Promoter must apply for a Permit within two hours of starting work or by 10:00 the following working day where the Activity begins outside of normal working hours. The Promoter can then continue working within the terms of any conditions that apply to its application, for example regarding working hours.

The Permit Authority will issue a Permit within two days of the Permit application. Once issued, the Promoter is bound by the terms of the Permit and the attached conditions. This supersedes the terms in the application and any previous conditions set by the authority.

10.2 Working without a Permit

Permit Scheme Regulation 19 creates the criminal offence for an Undertaker or someone acting on its behalf to undertake works without a valid Permit.

A Permit will cover a specified Activity at a specified location at specified times as described by the Permit start and end dates. These are referred to in the scheme as the Permit terms and any Activity that contravenes them is an offence. All elements of the Activity must be completed within the start and end date of the Permit – this includes not only the opening of the street, but all the ancillary work as well, such as stockpiling materials, setting up and disbanding traffic management and clearing the site.

To avoid committing an offence some situations that should be considered by the Promoter

- A new Permit must be raised once a Permit expires, it cannot be varied..
- A Promoter may be committing an offence if it starts, or continues to work after cancelling a Permit.
- Immediate activities may start without a Permit in place however; the Promoter must apply for a Permit within two hours of starting work or by 10:00 the following working day where the Activity begins outside of normal working hours (Section 3.3.4).
- Where there is a dispute over the terms of a Permit then the dispute procedure described in Chapter 11 should be used. In these cases the Permit Authority may not issue a Permit until the dispute is resolved or, in some cases, it might issue a Permit with its own conditions attached. This is also covered in Chapter 6.

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- Where a Permit Authority fails to respond to an application within the prescribed timescale, a Permit is deemed to be issued in the terms of the application. There is no requirement for the Promoter to cancel the application and resubmit (see Section 6.1.4).

10.3 Breaching the Conditions of a Permit

Permit Scheme Regulation 20 creates the criminal offence for an Undertaker or someone acting on its behalf to undertake works in breach of a condition.

The Permit register will record any conditions included in a Permit . If a Permit is varied, a new Permit will be issued and any new conditions will be included and recorded. The Permit Authority and Promoter will endeavour to ensure that conditions are precise so that that both can easily check performance on site against the approved conditions.

The conditions in the Statutory Guidance for Permit Conditions that apply to all Permits, or Permits for certain types of Activity in all cases, will apply to Immediate Activities for the period before a Permit is issued (see Section 5.10).

10.4 Sanctions

Where possible the Permit Authority will seek to resolve problems informally to achieve compliance with the Permit scheme. Where this fails, or where an Promoter persistently offends, or the Permit Authority considers that an informal resolution is not appropriate, then the Permit Authority has three sanctions it may use:

- Issue a notice to take remedial action
- Issue a Fixed Penalty Notices
- Prosecution

10.4.1 Remedial Action

Permit Scheme Regulation 18 allows the Permit Authority to issue a notice requiring remedial action within a timeframe where a Promoter is working without a Permit or in breach of a Permit Condition.

The remedial action may include removing the Activity, remedying the breach of condition or discontinuing the obstruction.

The steps the Permit Authority requires the Promoter to take, and the timeframe set out in the notice, will be reasonable for the circumstances.

Where a Promoter does not take the remedial action within the timeframe, the Permit Authority will take such steps, as it considers appropriate to achieve the outcome in the notice, and may recover any costs from the Undertaker.

10.4.2 Fixed Penalty Notice

Permit Scheme Regulations 21 to 28 (and Schedules 1 and 2) authorise the Permit Authority to issue Fixed Penalty Notices (FPNs) in respect of criminal offences. Fixed Penalty Notices offer the offender an opportunity to discharge liability for an offence by paying a penalty amount.

The Permit Authority will follow the FPN procedure set out in the Statutory Guidance for Highway Authority Permit Schemes (October 2015) and the Permit Scheme Regulations , and any subsequent amendments.

Prosecution through the magistrates' court remains an option for the Permit Authority.

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10.4.3 Prosecution

The authority may prosecute the offence through the courts following the usual processes. Normally this option will be invoked where an Undertaker is persistently offending on an issue that the Permit Authority considers serious.

Decisions on the prosecution of alleged offences are for the Permit Authority. Prosecution should not necessarily be the preferred option - the process can be time consuming and even FPNs do not offer an immediate solution.

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11 Dispute Procedures

The Permit Authority and Promoters should use their best endeavours to resolve disputes without having to refer them to a formal appeals procedure. However, it is recognised that occasionally this may not be possible.

If agreement cannot be reached locally on any matter arising under this Permit scheme, a discussion should take place-involving managers from both parties not directly involved in the promotion or control of the Activity. If this fails to provide a solution acceptable to either party, then the matter will be dealt with as per Chapter 13 of the NRSWA Co-ordination of Works Code of Practice.

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12 Related Matters

12.1 Temporary Traffic Restriction Orders

Provisions governing temporary road closures and traffic restrictions for works or other activities in the street are found in Sections 14 to 16 of the *Road Traffic Regulation Act 1984*, as amended by the *Road Traffic (Temporary Restrictions) Act 1991*, and regulations made under the 1984 Act and subsequent amendments. Details of LCC's process are available on their web site.

12.1.1 Charges

Section 76 of NRSWA allows traffic authorities to recover the costs of issuing temporary notices or making TTROs. Upon receipt of an application for a TTRO, the Permit Authority can provide utilities with the estimated cost. These costs are not part of the Permit scheme. Invoices will be itemised, for example:

- Cost of the order
- Advertising in local papers
- Administration fees

There may also be charges made for erecting and maintaining the on-site notices that are required.

12.2 Working Near Rail Tracks

Particular attention should be given to the possible effects of activities taking place at or near level crossings. Promoters planning works in such locations must refer to the NRSWA *Code of Practice for the Co-ordination of Works* or as subsequently amended, which sets out Network Rail's requirements.

12.3 Vehicle Parking at Street and Road Works

The following advice relating to vehicle parking at Activity sites is operational and should not be considered safety advice. For safety advice the Code of Practice on Safety at Street Works and Road Works should always be consulted.

12.3.1 Vehicle within Activity Site

A works vehicle may be parked in an Activity site provided it is necessary for the carrying out of that Activity. The *Code of Practice on Safety at Street Works and Road Work* provides basic site layouts . A vehicle entirely within the coned-off area of the site may require a larger coned-off area than would otherwise be the case.

12.3.2 Vehicle outside Activity Site

A vehicle may be parked outside an Activity site provided the parking rules that apply to any other vehicle in that street are obeyed. Outside of the Activity site, the vehicle has no special status and no exemption from parking enforcement.

12.3.3 Implications

When assessing the impact of activities the parking of any vehicles associated with the Activity should be taken into account. This is a particular problem for activities which, but for the presence of a works vehicle, would take place entirely within the footway.

If a vehicle is parked adjacent to the Activity, in a place that vehicles could not normally use, then it must be part of the Activity site. It must be signed and guarded appropriately. The Activity is then not wholly confined to the footway but encroaches onto the carriageway. Applications for Permits should reflect this.

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12.3.4 Parking Restrictions

The Traffic Regulation Order imposing parking restrictions on a particular street should already contain an exemption allowing for activities to take place in a parking bay. Promoters should check whether any further dispensation is required well before the works are due to start.

Promoters should be aware of other timescales the traffic authority may need to process such approvals, and they should build this into their application lead-in period. In addition, there may be other costs outside the scope of the Permit scheme.

12.4 Storage of Materials

Promoters and the Permit Authority should take care to place materials so that they do not cause an obstruction to road users. Where the storage of excavated material causes problems such as congestion then a Permit Condition may be applied to ensure the removal of the materials. Avoiding obstruction to road users is especially important if materials are stored away from the Activity site but still within the highway boundaries. Such storage must have consent from the Highway Authority under Section 171 of the Highways Act 1980.

12.5 Apparatus Belonging to Others

There may be other apparatus where activities are planned and under NRSWA Section 69, those carrying out activities must ensure that the owners of that apparatus are able to monitor the Activity and that requirements to take reasonable steps to protect the apparatus are followed. Failure to do so is a criminal offence.

12.6 Maintenance of Undertaker's Apparatus

Undertakers have a duty under NRSWA Section 81 to maintain apparatus in the street to the reasonable satisfaction of the street authority, having regard for the safety and convenience of traffic, the structure of the street, and, integrity of apparatus in it. Bridge, sewer and transport authorities also have an interest, as far as any land, structure or apparatus they own is concerned.

Most Undertakers have statutory obligations to maintain their networks - quite apart from which, they should maintain systems in efficient working order to properly discharge their safety and service obligations to their customers.

Thus, authorities and Undertakers have a shared interest in the proper maintenance of apparatus in the street.

As with reinstatements, it is important that the street authority reports any apparatus in an unsatisfactory condition quickly and accurately and includes the level of severity of the problem. The owner should respond and carry out any necessary remedial works within the reasonable timescales agreed with the street authority.

The Permit Authority will operate Section 81 as described in the NRSWA Co-ordination of Works Code of Practice and the EToN technical specification, as well as any guidance issued by HAUC, and it is expected that Undertakers carry out their obligations in this regard.

12.7 Diversion Routes

Any diversion of vehicles, pedestrians or cyclists that is required must be agreed with the Permit Authority in advance of the Activity taking place. Additional consultation may be required with interested stakeholders, and the route must be agreed to be suitable for the purpose.

The Permit Authority may require a traffic management drawing and a signing schedule as part of the illustration of the Activity to show the proposed route(s) and signs.

The illustration or the agreements made must be referenced in the Permit application by attaching a relevant comment to the Permit.

When a diversion is in use, it is expected that the Activity promoter or their contractors will check the diversion route signage on at least a daily basis to ensure that the signs are visible and in the correct positions. This applies to all kinds of diversion; vehicular, cycle, pedestrian etc.

When a diversion route is not required, for instance when a road is opened out to traffic for a period of time, then the sign faces should all be covered or removed so they do not cause confusion or further disruption to the travelling public. Once the diversion is no longer required then the signage should be removed immediately.

Should an Activity requiring a diversion overrun then the signage must remain in place and be maintained as long as the diversion is required.

12.8 Emergency Traffic Management

Immediate activities can cause significant disruption on any street due to the unknown nature of the cause.

Prompt notification and clear understanding of these kinds of situation enable the Permit Authority to implement contingency plans to initiate additional traffic management arrangements (such as adjustments to traffic signals etc.) and to make information available to the travelling public as quickly as possible to mitigate the impact of that Activity.

12.8.1 Streets Subject to Immediate Notification

Some streets or parts of a street are particularly vulnerable to traffic disruption. For these locations, the Permit Authority may wish to have the earliest possible information about an Immediate Activity to enable it to initiate traffic management arrangements and provide information to the public that will mitigate the impact of the Activity.

Typically, these will be key routes, pinch points or busy pedestrian areas and the Promoter undertaking Immediate Activities should contact the Highway Authority prior to carrying out the Activity on that street.

Such street sections will be defined in the Authority's ASD as those where "early notification of Immediate activities is required" and the situations when this is necessary and the manner of contacting the Permit Authority will be clearly defined in the NSG.

The Promoter or contractor should adhere to any directions or recommendations that are made by the Authority in these cases so that the surrounding network impact may be managed by the authority.

12.8.2 Severe Traffic Control

By their nature, Immediate Activities might require the use of traffic control at very short notice to manage a situation that might cause danger to the general public or the site.

Since it is unlikely that there has been substantial pre-planning of these activities, where the Promoter requires the use of temporary traffic signals or finding it necessary to close a road at any point during the life of an Immediate Activity, the Permit Authority should be contacted prior to implementing these traffic management provisions.

It is recognised that in certain circumstances it may be necessary to implement such traffic control measures first, to minimise risk to the public. However, it is important to ensure that the discussion with the Permit Authority takes place as a priority in these situations and should not be left for a period of time.

12.9 Specialist Materials

In some locations, the Permit Authority may require a first time permanent reinstatement using specialist materials. Such areas will typically be high amenity areas that are important locally for tourism or where there is high footfall or regular events, where the Authority feels that a suitable first time permanent reinstatement is required to ensure the aesthetic impact is not reduced.

The Permit Authority within its ASD will specify these areas of high amenity or high duty surfaces.

Examples of specialist materials might be York Stone, resin paving systems or as determined by the Authority.

Where the Activity is planned, then the Promoter should ensure that the appropriate materials and operatives are required to be available before the Activity can commence.

In the case of Immediate Activities, or planned activities where the sourcing of specialist material cannot meet the required timescales, then the Permit Authority may agree to an interim reinstatement in order to make the site safe as quickly as possible. This will enable better planning of a high quality permanent reinstatement, rather than undertaking a poor permanent reinstatement on the first pass.

12.10 Temporary Traffic Signals

Any use of temporary traffic signals requires agreement from the Permit Authority. The EToN technical specification provides a transaction for the Promoter to submit an application for temporary traffic signals that is linked to a particular PAA, Permit or application.

Typically an application for temporary signals will include information such as:

- Traffic management drawing showing site layout
- Signal operating pattern, for example during the working day, 24hr operation, overnight, off-peak etc.
- Signal configuration, for example stop/go, two-way, two-way with junction, multi-way etc.
- Detail on timings of signals and phasing, particularly for the use of multi-way signals or where timings on two-way signals alters during the day to take into account and help control tidal flow of traffic etc.
- Whether the signals should be manually operated at any time to help ease traffic flows and minimise delays.

The authority will consider the application in the context of the proposed Activity and if the Promoter has provided all the required information relating to the operation of the temporary signals to the satisfaction of the Permit Authority, it will be approved.

If the application is not approved then the Permit Authority will provide the reasons for non-approval as part of the response. This application response will be separate to the response to the linked Permit application or PAA.

An application may be re-submitted multiple times until it is approved by the Permit Authority.

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Promoters must attach a relevant Permit Condition to a Permit application for any Activity that requires the use of temporary traffic signals, whether or not at the point of issue an application for temporary signals has been submitted. If works are present on site without such approval, the Promoter may be committing an offence.

Promoters should note that approval of temporary signals may require a longer time period than the notice period of a Minor, or Standard, or Major follow-up Permit application and so should be mindful of this when submitting the Permit applications and allow extra time on the notice period.

The Permit Authority will meet, where practicable, certain timeframes for approving different temporary signal configurations, although it should be noted that certain agreements will necessitate a longer period to assess and discuss with stakeholders.

For Immediate Activities the traffic signal application must be submitted with the Immediate Permit application where it is anticipated that temporary traffic signals are to be used. Where the Activity is taking place in a Strategically Significant Street the Promoter should contact the Permit Authority by telephone immediately to inform them.

Where during the course of any Activity it is considered necessary by the Promoter to change the method of traffic management to using temporary traffic signals, the Promoter must contact the Permit Authority immediately (and in any case before the signals are put in place) to discuss this change of traffic control.

Traffic Signal applications should be made through EToN. By agreement, the Permit Authority may accept applications outside of the EToN process e.g. one off Promoters.

12.11 Environmental Issues

Any site should be maintained in a suitable manner, particularly when left unattended. This includes ensuring materials, spoil and equipment is stored in a tidy manner and in a way that ensures they cannot be tampered with and do not spill out of the works areas.

Promoters are strongly advised to liaise with the authority's arboriculture consultants and other environmental officials along with any necessary borough or district council officers when drawing up their proposals. This should ensure that wherever possible, and at reasonable cost, any environmental requirements can be met.

The Permit Authority will often be best placed to advise on these matters on receipt of Permits but the onus lies on the Promoter to do so wherever possible before the Activity is planned to commence.

A Promoter considering burying plant and apparatus that is currently above ground should contact any other utility with similar apparatus to see whether it wishes to share the underground facility.

There may be occasions where additional care should be taken in regards to maintaining the site in a clean and tidy manner throughout the duration the Activity. This might include swift removal of any spillage of materials onto the public highway or waste from a site.

In such circumstances, a relevant Permit Condition requiring the removal from site of surplus material, whatever the source, may be imposed.

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13 Monitoring the Permit Scheme

As required by Permit Scheme Regulations and the DfT Statutory Guidance for Highway Authority Permit Schemes (2015), the Permit Authority will carry out an evaluation of the Permit scheme to demonstrate whether it is achieving the objectives of the scheme.

The Permit Authority, with Key Performance Indicators, will measure the delivery of parity and performance. These will be a mix of those in the DfT Statutory Guidance for Permit Schemes and others. All Highway Authority and Statutory Undertaker activities will be included to show operational parity.

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14 Conflict with other Legislation and Legal Liability

The Permit Authority will work with Promoters to promote safe working practices and all parties should act reasonably and responsibly. Each situation will be considered on its merits.

The Permit Authority will try to ensure that any conditions applied to a Permit do not conflict with the Promoter's obligations under separate legislation. The Permit Authority's intention is that an Promoter should not be put in a position where they cannot escape being in breach of either Permit Conditions or other relevant legislation.

The Promoter should bring such concerns, conflicts or potential conflicts to the attention of the Permit Authority as soon as is practicable. The Permit Authority will be responsible for resolving the issue with the other body or bodies concerned, e.g. Environmental Health officials, and amending the Permit Conditions accordingly. If they are not satisfied the Promoter may invoke the dispute resolution procedure.

The applicant will be liable for all actions, costs, claims, demands, charges and expense arising out of any Activity covered by the Permit scheme, including those that may arise out of, or be incidental to, the execution of the works.

Part 8 of the Permit Scheme Regulations provides for the disapplication and modification of certain sections of NRSWA, in relation to the scope of the Permit Scheme, namely:

- Sections of NRSWA disapplied – s53, s54, s55, s56, s57, s66
- Sections of NRSWA modified – s58, s73A, s74, s88, s89, s93, s105, Schedule 3A NRSWA
- Regulations modified – The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007.

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15 Transition from NRSWA to the Permit Scheme

The consultation prior to LCC making an order to run a Permit scheme will provide early indication to all concerned of an impending changeover. The changeover date will be in the Order authorising the scheme and must be a minimum of four weeks after the order is made. LCC will ensure that discussion takes place with all Promoters during the transition period to ensure that issues are picked up early and problems dealt with quickly.

15.1 Transition Rules

The basic rules of transition will apply on all roads where the Permit scheme operates.

(a) The Permit regime will apply to all activities where the administrative processes, such as application for a Permit or Provisional Advance Authorisation, start after the commencement date.

(b) Activities which are planned to start on site more than one month after the changeover date (for standard, minor and immediate activities) or three months (for major activities) shall operate under the Permit scheme. This means that even if the relevant section 54, section 55 or section 57 NRSWA notice has been sent before the changeover, the Promoter will have to apply for a Permit.

(c) Any other activities, which started under the notices regime, will continue under that regime until completion.

Given the advanced notice of the changeover there should be few activities where these rules will create difficulties. Activities co-ordinated in the run-up to the imposition of a restriction might be such a situation. In those few cases, discussions should take place between the authority and the Promoters concerned to work out a practical way of dealing with the activities.

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Appendix

APPENDIX A – Glossary of Terms

Term	Definition
Activity	Covers both utilities' street works and highway authorities' own works. See Promoter.
Additional street data ("ASD")	Additional Street Data ("ASD") refers to other information about streets held on the NSG concessionaire's website alongside the NSG.
Apparatus	As defined in Section 105 (1) of NRSWA "apparatus includes any structure for the lodging therein of apparatus or for gaining access to apparatus".
Appeal	Where there is an unresolved disagreement between the Promoter and the Permit Authority about a Permit Authority's decision or actions the Promoter may appeal as per Chapter 13 of the NRSWA Co-ordination of Works Code of Practice.
Bank Holiday	As defined in Section 98 (3) of NRSWA
Bar hole	A bar hole is used to detect and monitor gas leaks as described in the NRSWA Co-ordination of Works Code of Practice.
Bridge	As it defined in Section 88(1)(a) of NRSWA,
Carriageway	As defined in Section 329 of HA 1980
Council	As defined in Section 329 of HA 1980
Day	In the context of the duration of activities, a day refers to a working day, unless explicitly stated otherwise.
DfT	Department for Transport.
Disability	As defined in Section 105(5) of NRSWA, and Section 28 of the Chronically Sick and Disabled Persons Act 1970
Emergency works	As defined in Section 52 of NRSWA
EToN	Electronic Transfer of Notifications, the system defined in the Technical Specification for EToN for passing notices, Permit applications, Permits and other information between Promoters and the Permit Authority.
Excavation	"Breaking up" (as defined above).
Fixed Penalty Notice	As defined in section 39(1)(b) of part 3 of the Traffic Management Act 2004
Footway	As defined in Section 329 of the HA 1980
Frontagers	A person or body occupying premises abutting the street.
HA 1980	The Highways Act 1980.
Highway	As defined in Section 328 of the HA 1980
Highway Authority	As defined in sections 1 and 329 of the HA 1980.
Highway works	"works for road purposes" or "Major highway works".
Immediate activities	immediate activities are either emergency works as defined in Section 52 of NRSWA or urgent works as defined in the Statutory Guidance for Highway Authority Permit Schemes
In	As defined in Section 105(1) of NRSWA
KPI (Key Performance Indicator)	A performance indicators used to show parity as defined in Permit Scheme Regulation 40.

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Term	Definition
Land	As defined in Section 329 of HA 1980
Local authority	As defined in Section 270(1) of the Local Government Act
Local street gazetteer	A subset of the NSG containing details of all streets in a local Highway Authority area
Maintenance	As defined in Section 329 of HA 1980,
Major activities	As defined in the Statutory Guidance for Highway Authority Permit Schemes
Major highway works	As defined in Section 86(3) of NRSWA
Minor activities	As defined in the Statutory Guidance for Highway Authority Permit Schemes
National Grid Reference	Location reference using nationally defined eastings and northings The format in which it is presented must in all cases match that required by the Technical Specification for EToN.
National Street Gazetteer (NSG)	A database defined as "an index of streets and their geographical locations created and maintained by the local highway authorities" based on the BS7666 standard.
Network management duty	As stated in Part 2 of TMA.
NRSWA	New Roads and Street Works Act 1991.
NSG Concessionaire	The body appointed to manage the NSG on behalf of the local highway authorities.
Opening (the street)	Removing a lid or cover to a manhole, inspection chamber, meter box or other structure embedded in the street without any "breaking up" of the street.
Order	Unless otherwise specific, ""order" means "a document signed by a person authorised by the Permit Authority to give effect to, vary revoke a Permit scheme;
Permit	The approval of a Permit Authority for an Promoter to carry out Activity in the highway subject to conditions.
Permit application	The application that is made by a Promoter to the authority to carry out an Activity in the highway.
Permit Authority	The relevant local highway authority, which has prepared a Permit scheme under Section 33(1) or (2) of the Traffic Management Act 2004.
Permit Scheme Regulations	Means the Traffic Management Permit Scheme (England) Regulations 2007, Statutory Instrument 2007 No. 3372 made on 28 November 2007 and the Traffic Management Permit Scheme (England) (Amendment) Regulations, Statutory Instrument 2015 No. 958 made on 26th March 2015.
Prescribed	As defined in Section 104 of NRSWA
Promoter	A person or organisation responsible for commissioning Activities in the streets covered by the Permit scheme. In the Permit scheme Promoters will be either Statutory Undertakers or the highway or traffic authority.
Protected street	are defined in NRSWA s61 (1)
Provisional Advance Authorisation (PAA)	The early approval of activities in the highway, equivalent to the advance notice given under s 54 of NRSWA.
Reasonable Period	As defined in Section 74(2) of NRSWA,
Registerable activities	Registerable activities correspond to what are "specified works" in the Traffic Management Permit Schemes (England)

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Term	Definition
	Regulations 2007.
Reinstatement	As defined in Section 105(1) of NRSWA, "reinstatement includes making good".
Relevant authority	As defined in Section 49(6) of NRSWA,
Remedial work	Remedial works are those required to put right defects identified in accordance with the provisions of the Code of Practice for Inspections and the associated regulations.
Road	"Highway".
Sewer authority	As defined in Section 89(1)(b) of NRSWA,
Special Engineering Difficulties (SED)	As defined in Section 63 of NRSWA
Standard activities	As defined in the Statutory Guidance for Highway Authority Permit Schemes
Strategically Significant Streets (SSS)	As defined in the Statutory Guidance for Highway Authority Permit Schemes
Statutory Guidance for Permit Conditions	Means the Statutory Guidance for Highway Authority Permit Schemes – Permit Scheme Conditions", the most recent publication, issued by the Secretary of State pursuant to Section 33(5)(b) of the Traffic Management Act 2004.
Statutory Guidance for Permits	Means the Statutory Guidance for Permits", most recent publication.
Street	As defined in Section 48(1) of NRSWA
Street authority	As defined in Section 49(1) of NRSWA,
Street works	As defined in Section 48(3) of NRSWA,
Street works licence	As defined in Section 50(1) of NRSWA,
Temporary Traffic Regulation Order	This means an Order made under Section 1, 6, 9 or 14 of the Road Traffic Regulation Act 1984.
Terms, Permit terms	The works promoter specified Activity at the specified location at specified times executed in a specified way etc. as defined in a granted, deemed or varied Permit.
TMA	The Traffic Management Act 2004.
Traffic	As defined in Section 105(1) of NRSWA, "traffic includes pedestrians and animals".
Traffic authority	As defined in Section 121A of the Road Traffic Regulation Act 1984:
Traffic control	Any of the five methods of controlling traffic detailed in the Code of Practice "Safety at Street Works and Road Works".
Traffic flow	The number of vehicles using the particular street at specified times of the day and year, measured in accordance with DfT guidelines.
Traffic Management	Traffic management is dictated by road space/occupation. Permit Scheme Regulations define: "traffic management arrangements" as including signs, signals, road markings, barriers and other measures which are intended to secure the expeditious, convenient and safe movement of vehicular and other traffic (including pedestrians).
Traffic-sensitive street	As defined in Section 64 of NRSWA

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Term	Definition
Traffic-sensitive Time	In relation to a traffic-sensitive street, means: the times or dates specified in the case of a limited designation; and any time in any other case.
Tramway	As defined in Section 105(1) of NRSWA
Trunk road	As defined in Section 329 of the HA 1980,
Undertaker	As defined in Section 48(4) of NRSWA,
Unique street reference number (USRN)	As defined in the British Standard BS7666.
Urgent activities	As defined in the Statutory Guidance for Highway Authority Permit Schemes
Working day	As defined in Section 98(2) of NRSWA,
Works	Street works or works for road purposes.
Works for road purpose	As defined in Section 86(2) of NRSWA,

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Appendix B

Leicestershire County Council

Permit Scheme

Supporting Document

June 2017

Introduction

Part 3 of the Traffic Management Act 2004, (TMA) introduced permit schemes as a different way in which activities in the public highway could be managed to improve a highway authority's ability to minimise disruption from street and road works.

The Leicestershire County Council Permit Scheme (the Permit scheme) provides a change from the 'notification system' of the New Roads and Street Works Act 1991 (NRSWA). Instead of informing the street authority about its intention to carry out works in the area, a statutory undertaker will need to book time on the highway through a permit, as would the highway authority, its partners and agents, for its own works. Under the Permit scheme both statutory undertaker's activities and highway authority activities are treated in the same way with regard to co-ordination and the setting of conditions. The Permit Authority shall demonstrate at all times parity between activity promoters ensuring non-discrimination between permit applicants.

The Permit Scheme comes into force through the powers conferred by Section 33A (2) of the TMA by an Order made by the Permit Authority. This Order will come into effect on 1st January 2018

The Permit scheme will be reviewed in accordance with the Traffic Management Permit Scheme (England) Regulations 2007; and, the Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 and any subsequent amendments.

Background

Leicestershire is a diverse county in the centre of England. It rings the City of Leicester and borders with the counties of Derbyshire, Nottinghamshire, Warwickshire, Staffordshire, Lincolnshire, Northamptonshire and Rutland. The population is a little over 690,000 and the county covers an area of about 2,000 square kilometres, across seven districts. There are exceptional transport links to the rest of the country, there are extensive road networks including the M1, M69, M42 and the A14. Nottingham East Midlands Airport (NEMA) lies in the north of the county and Birmingham airport to the west, providing flights to a wide range of destinations. NEMA is also one of the UK's major freight airports.

Leicestershire is predominantly rural, but has a number of county towns and suburban communities.

Leicestershire host the National Forest, which includes Charnwood Forest and pockets of ancient woodland. Other recognisable landscapes include the Soar and Wreake Valleys, High Leicestershire, the Leicestershire Vales and the Wolds.

One of Leicestershire's key strengths is its central location and strong communications network, providing easy access to the rest of the UK and beyond. There is a diverse economy, which is generally robust and prosperous and the second largest in the East Midlands. The gross domestic product per head is also the second highest in the region. Traditionally, the Leicestershire economy has tended to perform slightly better than other areas of the UK during any downturn in the economic cycle. Due in part to Leicestershire's relative prosperity, it has more traffic in terms of vehicle kilometres travelled per head of population than Derbyshire and Nottinghamshire, the two other shire counties in the East Midlands Three Cities sub-area.

The county has very diverse transport needs, ranging from the major urban conurbation of Leicester and Central Leicestershire, through busy county towns to substantial rural areas.

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Principles of the Permit Scheme

Key Scheme Objectives

The scheme's primary objectives are:

- to increase the efficient running of the highway network by minimising the disruption and inconvenience caused by road and street works and other highway events and activities through proactive management of activities on the highway
- to protect the structure of the street and the integrity of the apparatus in it
- to ensure safety of those using the street and those working on activities that fall under the Scheme
- to ensure parity of treatment for all activity promoters particularly between statutory undertakers and highway authority works and activities
- better information for road users about works in the highway;

The successful performance of the Scheme will bring a number of subsidiary benefits. These include:

- maximising the safe and efficient use of road space
- providing adequate information for route planning
- improving the resilience of the network
- minimising inconvenience to all road users
- improving public satisfaction

Measuring the Objectives

The *Statutory Guidance for Permits* indicates that aspects of the scheme objectives should be measurable while Regulation 4(d) requires the Permit Authority to describe how they will evaluate the scheme.

Chapter 13 of the Permit Scheme states how the Permit Scheme will be evaluated. Advice note No. 3.0 sets out in more detail the metrics that will be used to measure how the scheme is performing. These are based on the Operational Measures and Key Performance Indicators listed below.

KPIs and Operational Measures will be made available at quarterly coordination meetings by the Permit Authority.

An annual report will be produced by the Permit Authority, where the annual KPIs and Operational Measures will be analysed more fully to evaluate the scheme.

Key Performance Indicators

Regulation 40 requires the scheme to show parity of treatments for all types of activity promoters.

Equality and parity of treatment will be measured through Key Performance Indicators. The Statutory Guidance for Highway Authority Permit schemes 2015 contains a set of Key Performance Indicators (KPIs) that has been developed by the HAUC (England) Permit Forum a mix of these and others will be used to help under pin scheme evaluation .Parity of treatment will be demonstrated through these KPI's

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Operational Measures

Operational measures are performance reports that can be used to provide comparative measures of the Permit scheme and allow discussion on whether the scheme objectives have been met. The evaluation will allow comparison against the previous year's data, and baseline data collected prior to the introduction of the Permit scheme. The reports will show

- works phases started
- works phases completed
- days of occupancy
- number of overrun incidents
- average works durations
- FPNs given
- FPNs paid
- FPNs withdrawn
- Early start agreements

The operational measures detailed in this document are 'draft' metrics. This will allow them to be changed as new reporting tools or more consistent methods of analysis across the industry are developed by the Permit scheme working group, the street works software suppliers, the DfT or the National KPI working party.

Managing the Network

Any activity on the highway has the potential to cause inconvenience to vehicular traffic, pedestrians, cyclists and others. They may also cause inconvenience for residents and business. Where the activity affects traffic flows directly there is the likelihood of congestion and disruption.

Effective coordination and management of the highway requires reliable and timely information being communicated and enables differences between those competing for space or time in the street to be resolved in a positive and constructive way. In addition, efficient design of an activity on the highway will significantly mitigate the potential disruption of that activity.

Permits provide the basis for this with the requirement to manage the applications from utility companies and Highway Authorities in a proactive manner, which are the two activities that often have the greatest effect on traffic and disruption.

Section 59 of NRSWA places a duty on the street authority to coordinate works of all kinds on the highway. Of equal importance is the parallel duty under Section 60 on undertakers to cooperate in this process.

The Traffic Management Act 2004 and the associated Permit Scheme Regulations widen the Section 59 coordination duty to include other prescribed activities that involve temporary occupation or use of road space and incorporates any activities included in a Permit Scheme. In addition, Section 16 of the TMA introduces a network management duty on the traffic authority and requires them to secure the expeditious movement of traffic on their network, and facilitate the movement of traffic on the networks of their neighbouring authorities.

Operational Purpose of the Permit Scheme

The Permit scheme takes into consideration the statutory duties placed on the permit authorities and in particular aims to benefit a number of areas that are important for delivery of LCC's local transport plans, including:

- To support the economy and population growth
- To encourage active and sustainable growth
- To improve the connectivity and accessibility of our transport system
- To improve road safety

- To manage the condition and resilience of our transport system
- To manage the impact of our transport system on quality of life

The Permit Scheme is not intended to be bureaucratic, and an important consideration in its operation is ensuring that those activities that are important to the economic growth of UK plc such as major civil or telecoms/digital infrastructure projects and major events are treated and managed in a way that benefits all stakeholders. This will ensure the safety of the activity on the highway, the quality of workmanship and network assurance while not unreasonably delaying these activities from taking place. To this end:

- fee levels have been developed that are considered proportionate to the significance of the street and the likely amount of work required to effectively coordinate and manage activities on that street in their scheme area.
- discounts are available for those activity promoters that are able to deliver work in a proactive way to lessen the impact of their activities, for instance through collaboration
- there will be a flexible approach to works management including 'early starts' and in particular the scheduling and delivery of major schemes
- the scheme uses the Statutory Guidance for Permit Conditions as developed by the National Permit Forum to assist activity promoters identify and use these to best effect through a common and consistent approach
- Permit scheme advice notes will be developed as part of the scheme to provide further guidance and clarification and best practice on many elements of the scheme's day-to-day operation. These are 'live' documents, and the intention is that over time they will be adapted and added to in order to offer clear advice and agreements reached.

The Permit Authority will actively promote a cultural step change in attitudes from other departments within their authority that play an important role in the overall network assurance, by:

- working closely with an authority's own highways contractors to improve working practices and ensure high quality of information and comprehensive planning processes
- forming network management teams to bring together the coordination of all highways activities including for instance events and highways operations
- greater engagement with Development Control and Planning departments to bring in their structures and processes to the forward planning process to ensure better coordination and delivery of their activities that affect the highway

The Permit Authority will actively promote a cultural step change in attitudes from statutory undertakers. To this end:

- it is anticipated that regular meetings will be held between the statutory undertakers and the Permit Authority to discuss matters of operational performance and explore practical ways of undertaking essential works, exploring innovative methods of working and reducing disruption
- Principles engrained in NRSWA and TMA are that effective permit scheme objectives must include provisions:-
    - to ensure safety
    - to minimise inconvenience to people using a street, including a specific reference to people with a disability
    - to protect the structure of the street and the integrity of the apparatus in it.
    - In addition The Traffic Management (Guidance on Intervention Criteria) (England) Order 2007 sets out what the Secretary of State would take into

account in determining whether or not a local traffic authority is performing its network management duties. This includes

- co-ordinating and planning works and known events
- ensuring parity with others, by applying the same standard or approaches to an authority's own works as to those of other activity promoters

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Permit Fees

In accordance with the provisions set out in Section 37 of the TMA and Regulation 30, the Permit Authority may charge a fee for each of the following.

a) the issue of a permit;
b) an application for a permit, where the Permit Scheme requires a Provisional Advance Authorisation to be obtained as part of that application; and
c) each occasion on which there is a variation of a permit

The Permit Authority will charge fees in accordance with Regulation 30, Permit fees do not include costs charged or recoverable by highway authorities in relation to consents or other requirements such as for Temporary Traffic Orders or Notices or parking suspensions related to other works being carried out.

It is not the purpose of fee charging under the Permit Scheme to generate revenue for the Permit Authority; although subject to the constraints set out a Permit Authority may cover its costs.

Fees are payable by Statutory Undertakers, but highway authorities are not charged. This is due simply to the fact that the money charged would only circulate around a highway authority. However to promote good practice the Permit Authority is encouraged to use a shadow charging arrangement to show the cost of issuing permits to its own activity promoters both to help understand its own costs and to set those alongside the costs to other activity promoters.

Fees to be charged by the Permit Authority.

Activity type	**Charge on strategically significant streets**	**Charge on non-strategically significant streets**
Provisional Advance Authorisation	£58	£48
Major activities (over 10 days duration AND major activities requiring a TTRO)	£180	£93
Major activities (4 to 10 days duration)	£79	£68
Major activities (up to 3 days duration)	£41	£37
Standard activities	£79	£68
Minor activities	£41	£37
Immediate activities	£28	£19
Permit variation	£45	£35

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Principles of Coordination and Permit Management

Principles of Coordination

To meet the objectives and outcomes required by the Permit scheme activity promoters and the Permit Authority need to adhere to four main principles:

- The need to balance the potentially conflicting interests of road users and activity promoters' customers
- The importance of close cooperation and liaison between the Permit Authority and activity promoters
- An acknowledgement that activity programmes and practices may have to be adjusted to ensure that the statutory objectives of the coordination provisions are achieved
- Successful coordination requires accurate and timely information and good communication between the Permit Authority and activity promoters.

The Scheme will operate in a way that encourages better planning, scheduling and management of activities so that traffic disruption is minimised as far as practically possible.

The principles of Sections 58 and 58a of NRSWA will operate alongside the Permit scheme to help coordinate large resurfacing schemes and utility projects.

The Scheme will operate in a way that is not intended to prevent or delay activities that the activity promoters consider necessary or are obliged to do. Instead, the operation of the scheme will seek to ensure that the Permit Authority will proactively work with activity promoters to facilitate and manage their works.

Small scale and short duration activities are unlikely to cause significant disruption. However, where several activities are close together they can be disruptive or cause a nuisance. Effective coordination therefore needs to take into account proposals of every scale and duration.

The Permit Authority will undertake the principles of coordination as described in the Code of Practice for the Co-ordination of Street Works and Works for Road Purposes and Related Matters and related guidance issued by the Department for Transport and any other such best practice guidance in general use.

Principles for Activity Promoters

The term 'activity promoter' applies equally to statutory undertakers and their contractors and to the highway authority and their contractors.

It is essential that all activity promoters take the permit scheme objectives and the wider TMA objectives into account when planning and managing their works.

The prime responsibility for planning, supervising and carrying out individual activities falls on the activity promoter.

Activity promoters must consider the needs of all road users, including those with disabilities – whether they are pedestrians, equestrians, cyclists or motorists – throughout the planning and execution of activities. These will have implications for

- the timing of activities, for example the duration of the works, avoiding peak periods and consideration of out of hours working
- the way in which activities are carried out, including relevant health and safety and traffic management legislation
- the programming of activities which include coordination of activities and the possibility of collaborative working

Activity promoters should recognise that the statutory application periods are a minimum and that whenever possible longer periods should be given, particularly if the works are likely to be disruptive. Where modifications are required then the activity promoter should discuss these with the Permit Authority as soon as possible. This benefits both activity promoter and Permit Authority since it ensures that all implications of the activity can be considered more fully.

Activity promoters should ensure that they engage fully with any stakeholders and interested parties that the Permit Authority deems necessary and be prepared to modify their proposals where appropriate and practical.

Activity promoters should take into account the space needed for both the works and the storage of plant and materials when assessing the likely disruption the activity might cause.

Principles for the Permit Authority

In order to respond to a permit application the Permit Authority must consider all aspects of the proposed activity and other influences that may affect traffic. These include, but are not limited to

- the road network capacity
- the scope for collaborative working opportunities, including trench and duct sharing between activity promoters or working within the same area of traffic management
- the optimum timing and duration of activities
- the effect on traffic both on the Authority's network and adjoining highway authority
- safety for those engaged in the activity as well as the general public
- appropriate techniques and arrangements particularly at road junctions and pinch points, strategically significant streets or those with special engineering difficulties
- environmental impacts from both noise, excessive spoil and materials, and congestion
- the effect of other activities that take place on or affect the highway, for instance events and street parties, licensed operations or other consents under the Highways Act 1980, developments that affect the highway, highways activities such as gritting or rubbish clearance.

The Permit Authority will consider the difficulties that any proposed activity will or may cause and, where possible, agree an acceptable way forward either from the information provided in the permit application or through further discussion. Any agreements made will be validated using specific conditions that will apply to each activity to ensure that the work is carried out in the manner agreed, so as to minimise disruption and inconvenience particularly to local businesses and residents.

It will be the responsibility of the activity promotor in liaising with all necessary stakeholders and interested parties where the activity is likely to affect these organisations and will take into account their opinions and considerations. These may include, but are not limited to

- the emergency services, normally via the Police
- public transport operators and authorities, including Network Rail
- local authority areas such as planning or environmental health officers, or parish, town or borough councils
- other appropriate bodies, for example those representing disabled people, pedestrians, cycling groups, hauliers and motorists
- the Ministry of Defence, English Heritage, the National Farming Union, local tourism boards, the Environment Agency and any organisation as required

The Permit Authority will allow early starts to a permit (a reduction to the minimum notice period as set out in table 1, section 6.1 of the scheme) providing that

- it does not conflict with other activities
- there is a legitimate reason for the request and not a result of poor works planning by the activity promoter
- activity promoters do not use early starts regularly to conceal poor works management

The Permit scheme will be operated in a fair and equitable way ensuring a level playing field with all activity promoters competing for time and space on the highway.

National Infrastructure Projects

The major infrastructure projects which need to be taken into account at the time of implementation of the scheme are:

- The East Midlands Gateway Rail Freight Interchange.
- The roll out of the Superfast Broadband

LCC are committed to ensuring that the commencement of the Permit Scheme does not have a detrimental impact on any National Infrastructure Project within the Authorities boundary.

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Leicestershire County Council

Providing less: Supporting more

Our vision and strategy for communities & wellbeing 2016 – 2020

Introduction:

Mr Richard Blunt, County Councillor
Cabinet member for heritage, leisure and arts

Our heritage, libraries and leisure services provide a rich mix of opportunities for individuals, groups and communities to come together to share experiences and learn from each other, using a range of cultural resources for inspiration. This engagement with our culture and heritage services fundamentally enhances people's quality of life.

The County Council recognises the value in enabling children to develop an interest in reading and access educational resources, in bringing older people together to find out more about how to use technology, in enabling local people and visitors to discover the unique history and heritage of Leicestershire and its people, and in helping people feel more confident about lifelong learning in informal and supportive environments. We are encouraging local communities to become more involved in their local libraries and museums, and to shape the community in which they live.

However, our services work in a very competitive and challenging environment, where people are presented with ever wider choices as to how they can spend their leisure time. For example, the internet makes it easy for anyone with the skill and technology to download a book, listen to music or find out information on anything they choose.

All councils now have less money to invest in services and this means that we need to think in different ways about how to deliver or enable access to them.

Currently our services cost £5.7 million per year to operate. However, by 2018 funding will reduce by over 30% to approximately £3.9 million. This will mean that £1.9 million of savings will need to be found. One thing is clear, we can no longer provide the services in the same way that we have been used to.

This will mean that we will provide less services directly but support communities more in how they can use the collections and resources that we hold to greater effect in their communities.

This is why, at this time, we need to have a new strategy for the service. The strategy will be the foundation upon which we reshape our services and ensure that people are supported in working with us to create new cultural and learning opportunities for the future.

This is our plan for 2016-2020. It sets out how we will:

- Build on work with local libraries in supporting communities to manage and make use of the resources and collections that are held by the council.
- Use our resources to strengthen communities and make them more resilient and self-supporting.
- Work with partners to enhance and improve health and social care, economic development, learning and skills.
- Reshape our learning, heritage and cultural services.
- Manage our finances effectively.

Our vision for communities & wellbeing services in Leicestershire

Jon Wilson
Director, Adults and Communities

The communities and wellbeing service is an important part of Leicestershire's leisure and cultural offer. Our services attract over one million visits which are universal and open to all, and attract 5,000 learners each year to our adult learning services. This includes an important contribution in bringing people to the county to visit its attractions, many of which have a heritage focus and therefore support the local economy.

We bring communities together to share in cultural activities, connect through learning, understand local cultures and heritage, and inspire individuals and groups across the county to achieve their potential.

We inspire individuals and groups across the county to achieve their potential.

Our libraries, archive, museums, collections, creative industries and learning resources are part of the glue that binds communities together and contributes to making them stronger. They enable people to find out about themselves and where they have come from, explore different worlds through inspirational writing and to build confidence through learning. Above all, they bring people together to share experience, be it through a book group, an exhibition, an event, or through a learning classroom. Our services are vital in terms of enabling people of all ages to be connected, engaged, stay well and therefore live independently for longer.

Libraries, heritage and learning services have always reflected the wider society in which they exist, being shaped by, and in turn helping to shape their communities. As such, they evolve to reflect the economic, social, technological and cultural changes which take place within the wider environment.

Our focus in the future will be on supporting communities to support themselves

Our services are no different; they are changing as the world around them changes. Our focus in the future will be on supporting communities to support themselves, by enabling them to design and develop their own creative activity using the resources that the county council holds; from its collections of books in community managed libraries to working with a range of partners to protect and preserve our heritage, to direct provision of learning in the community and enabling creative industries to develop and grow.

Working together with communities, local councils, businesses and other partners, we will shape our services to target those most in need, particularly children, families and older people. Our partners will include cultural, health, tourism, social care and learning providers. Most importantly we will seek to strengthen our relationship with local communities so that they play a central role in shaping and providing services in the future.

Our service plays an important role in enabling communities to develop their skills in accessing an increasingly wide range of online services. We will make it easier for people to use our services online, through promotion of downloadable books and magazines and making more of our collections information available online, so that these resources can be available at a time and place that is convenient to our users. We will work collaboratively with partners to ensure that communities are equipped with the necessary digital skills in order to enable them to engage with a wide range of services online.

We will continue to protect and preserve our local heritage by caring for the resources and collections that provide the core of our services: our archives, museum and heritage collections and our book stock, and make these available in a flexible and responsive manner. We will reshape the professional workforce so that it is best placed to manage these resources and enable local communities to connect with them.

We will continue to recognise and promote the contribution that our services make to the local economy by providing support for skills and learning, and by supporting activities and events that attract tourism to our county.

We will continue to support communities to manage their own venues and services by offering appropriate training and professional support to the volunteer workforce.

We will continue to support a network of venues that showcase our resources, but we will review the scale of the network and seek to make the most effective use of modern technology to provide best value for money. Where viable, we will seek opportunities to co-locate services with other partners, and possibly reduce the network by closing some venues.

We will ensure that our adult learning provision is aligned so that it contributes effectively to supporting people to develop new skills and find jobs.

We will work in partnership to support the local economy by helping emerging and established creative industries to grow and prosper.

We will ensure that our services provide value for money and manage our finances effectively. This means that we will have to identify new ways of generating income, including charging for some services, alongside being more efficient in the use of our resources within the budget that we have available.

This means that we may have to reduce or cease some of our services in order for us fulfil the ambition of this strategy.

We will continue to support communities to manage their own venues and services by offering appropriate training and support to the volunteer workforce.

OUR MISSION

To build independent and resilient communities across Leicestershire through access to culture and learning

Key design principles

Our future model for services will work to a set of principles which puts the user of services and local communities at the centre of what we do.

These principles are:

The right person/The right community – we will support communities to develop universal services whilst targeting specific services to those who we have identified as having need or benefit of them.

The right time – services will be available at times and in ways which support their continued usage and patronage. For example through venues being open at key times, 24 hour online service offers, a published mobile library service schedule, events and classes at various days/times during the week.

The right place – services can be accessed at an appropriate and cost effective location. This might be remotely via our online service offer, in our venues, or in our partners' premises, through our mobile vehicles or other local community spaces. We will recognise the different communities we support be they geographical, demographic or spiritual and seek to address the needs of individuals and communities within our service offer.

The right support – people and communities will be provided with the right support to access services and are supported to develop the capacity to deliver services for themselves and others. This support will be provided by the right people with the right skills including volunteers, paid staff, commissioned support (specific and time limited) or via online resources. The support provided will focus on enabling individuals and communities to become more resilient, to enhance economic opportunities and to prevent and reduce health and care need.

The right partners – we will work in partnership with other organisations including district and borough councils, public health, learning partners, community managed libraries, other community organisations, independent heritage providers and creative industries, to identify the services that could benefit specific groups and communities and to deliver these in a joined up and cost effective way.

Our Strategic Approach

Our strategic approach is to develop and enable leisure, heritage, learning and creative services through a mix of supporting communities to design and create activity that is relevant to their local area and through access to clearly defined activity.

In addition, we will contribute to the council's key strategies relating to children and families, adult social care, health, economic development, digital access, tourism and skills by working in partnership with other organisations and local communities. We will aim to develop targeted programmes of activity that assist them in achieving their goals and which either are commissioned by them or co-funded.

Enabling and supporting communities

We will transform our service so that it is more clearly focused on supporting communities to support themselves in designing and delivering creative and learning activities. We will do this by building on the work to support communities to manage their local libraries, independent museums and developing creative industries to help provide appropriate venues, locations and opportunities. for communities to come together, share experience, and access resources. In this way we will promote the creation of resilient and self-sufficient communities through creative cultural and heritage activity and shared development of future services.

Access to services

We will continue to support the provision of a range of services and expertise with a focus on the promotion and sharing of reading and literacy, access to collections and archives, learning programmes, access to IT and information resources. By doing this people will be able to access resources to improve the quality of their lives, stimulate creative thought, and make connections with each other and their local community. This will be through:

- The Leicestershire, Leicester and Rutland Record Office;
- Leicestershire Adult Learning Service;
- A library network based around a revised number of county funded libraries, community managed libraries, a mobile library service, and an online service;
- A museum/heritage service which will support access to the county council's museum collections through facilities operated by the council, for example Bosworth Battlefield, or in partnership with others, for example Harborough Museum, or through loans to other accredited museums;

- An Educational Resource Service (Creative Learning Services) targeting schools and academies on a subscription basis;
- Creative Leicestershire supporting the creative industries sector;
- A greater defined volunteer offer.

The provision of these services may be through direct delivery by the council or through partnerships with other organisations. Whilst the council is committed to ensuring services are accessible to local communities, the existing network of amenities is still large and not affordable within the available budget. We will need to further review the number of venues from which we operate our services and seek to reshape, relocate, share or close some venues.

Targeted Services

We will continue to work with our partners to develop a programme of services and opportunities for specific groups and communities who may be at risk and need higher levels of support both now and in the future. This will focus on supporting individuals and communities to improve their health and wellbeing, achieve their aspirations and become more resilient and in this way prevent and reduce the need to access other key services in the future.

These targeted services may be time limited and the groups targeted and/or the opportunities and services offered may change over time. They will also be linked to specific national or local strategies or agendas and will identify the outcomes they are expected to achieve.

Working in this way may enable bids to be made for alternative funding, partner funding contributions to be sought, individuals to be asked to contribute toward the costs of services or for resources to be combined with other organisations. Without this additional necessary funding it will not be possible to provide these services and we may have to take decisions as to whether some of our existing service provision can continue.

How we plan to achieve our vision

Enabling and supporting communities

How it works now:

- Local communities have support for creative industries and independent museums
- Work is underway to enable local communities to manage their local library
- Communities are used to direct service provision

In four years' time:

- Communities will be empowered to design and create their own cultural activity
- Communities will play a partnership role in developing cultural, creative and information services and activity with the council: co-designed, co-delivered

We will:

- Reshape the service to improve support to communities in order for them to support themselves
- Enable future services to be co-designed and co-developed with local communities and stakeholders

"For our community to take it over is a magnificent opportunity to make the library Barrow's hub."

Access to services

How it works now:

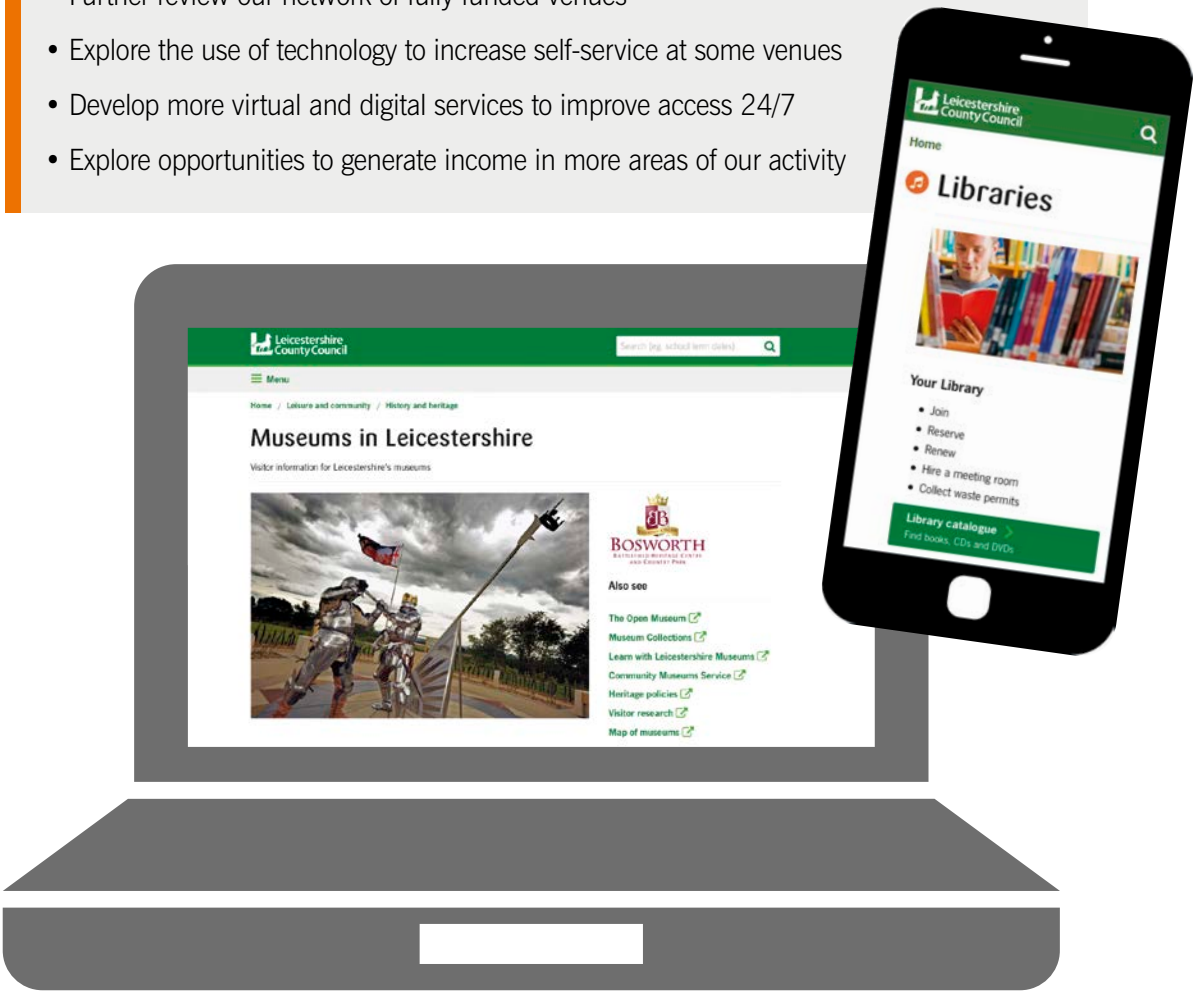
- We have a large network of venues
- People rely on services to be provided for them
- Most services are provided physically and are reliant on staff to maintain opening hours

In four years' time:

- Technology will be used more flexibly to improve access
- More services will be available digitally and online, and people will be helped to access them
- Local communities will manage, sustain and control smaller venues

We will:

- Further review our network of fully funded venues
- Explore the use of technology to increase self-service at some venues
- Develop more virtual and digital services to improve access 24/7
- Explore opportunities to generate income in more areas of our activity



Targeted Services

How it works now:

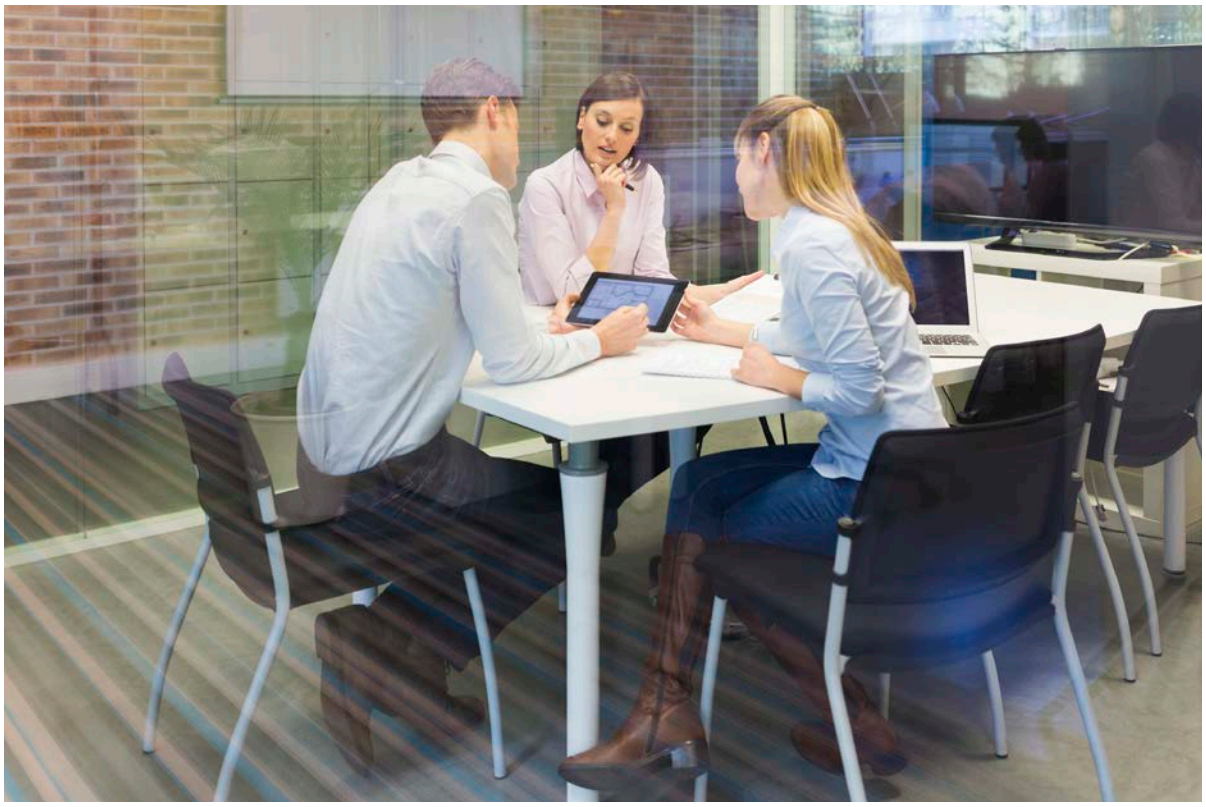
- We provide a wide range of activities without always providing clear evidence of their value
- The service fully funds the majority of activities
- The service responds to most requests for activity/support
- Activities become part of business as usual

In four years' time:

- Services will be targeted at specific groups and communities
- The council will co-commission time limited services depending on evidenced need
- Communities will be supported in deciding what services are offered
- The outcomes of the services will be reviewed to ensure that they contribute to wider strategic aims and objectives.

We will:

- Work with strategic partners to identify/evidence key commissioning areas
- Consult with communities about the service offer.
- Review and reduce our current targeted service provision that is currently funded solely by the council.



Key activities to deliver the model

We will need to take various actions to help us deliver what we have set out

Workforce development

We will develop our staff to ensure that people have the right skills and knowledge. This could include information provision, experience of working with targeted groups or community outreach work. The service may employ staff directly or commission the right professional support to deliver a specific piece of work for a certain period of time.

We will also continue to support and develop our current volunteers and identify new volunteering opportunities within the service.

Details of how we will do this will be included in our Workforce Development Plan.

New ways of working

To support our staff to deliver services and to make sure people can get the most out of the services available to them we will need to develop new ways of working. This will include increasing the use of technology and developing more online services alongside "traditional" ways of delivering services.

We will also need to develop new practices and new procedures to support these services. These will be simple, transparent, consistently used and easy for staff and users to understand.

Consultation & engagement

We will engage with users of our services and the wider community to understand what is important to them, what types of services or activities they would like to see and which services are successful in meeting people's needs.

This feedback, together with other relevant information, will be used to help us to develop services, manage our performance and make decisions.

Partnership working

We will work in partnership with a range of other organisations including local communities to co-ordinate our work, to minimise duplication and make the most of our available resources.

Financial systems

We will maintain robust financial systems to make clear who is accountable, to ensure services deliver value for money and that all available sources of income are maximised.

Detailed action plan

We will develop a detailed action plan for the service which will be regularly reviewed, updated and used to identify our next steps.

Monitoring our performance

Our progress will continue to be monitored and reviewed regularly. We will also be required to report to the Council's Scrutiny Committee and Cabinet when key decisions need to be made.

In addition, some services are subject to external inspection or accreditation. For example Leicestershire's Adult Learning Service has recently been assessed as "good" by Ofsted, who are responsible for inspecting and regulating services providing education and skills for learners of all ages.

Community & Wellbeing Venues

Libraries

- Ashby de la Zouch Library, North Street, Ashby de la Zouch, Leicestershire, LE65 1HU
- Birstall Library, Wanlip Lane, Birstall, Leicester, LE4 4JU
- Blaby Library, Lutterworth Road, Blaby, Leicestershire, LE8 4DW
- Broughton Astley Library, Main Street, Broughton Astley, Leicestershire, LE9 6RD
- Coalville Library, High Street, Coalville, Leicestershire, LE67 3EA
- Earl Shilton Library, Wood Street, Earl Shilton, Leicestershire, LE9 7NE
- Glenfield Library, Sandown Court, Glenfield, Leicester, LE3 8BT
- Hinckley Library, Lancaster Road, Hinckley, Leicestershire, LE10 0AT
- Loughborough Library, Granby Street, Loughborough, Leicestershire, LE11 3DZ
- Lutterworth Library, George Street, Lutterworth, Leicestershire, LE17 4ED
- Market Harborough Library, Leicestershire County Council, The Symington Building, Adam and Eve Street, Market Harborough LE16 7LT
- Melton Mowbray Library, Wilton Road, Melton Mowbray, Leicestershire, LE13 0UJ
- Oadby Library, 10 The Parade, Oadby, Leicester, LE2 5BF
- Shepshed Library, Hall Croft, Shepshed, Leicestershire, LE12 9AN
- Syston Library, Upper Church Street, Syston, Leicestershire, LE7 1HR
- Wigston Library & Learning Centre, Bull Head Street, Wigston, Leicestershire, LE18 1PA

Community Libraries

Work is currently taking place to enable local community organisations to run libraries at the following locations:

- Anstey Library, Paper Mill Close, Anstey, Leicester, LE7 7AU
- Barrow Upon Soar Library, North Street, Barrow Upon Soar, Leicestershire, LE12 8PZ
- Barwell Library, George Ward Centre, Church Lane, Barwell, Leicestershire, LE9 8DG
- Braunstone Town Library, Braunstone Civic Centre, Kingsway, Braunstone Town, Leicester, LE3 2PP
- Bottesford Library, Old Primary School, Grantham Road, Bottesford, Nottingham, NG13 0DF
- Burbage Library, Church Street, Burbage, Hinckley, Leicestershire, LE10 2DA
- Castle Donington Library, Delven Lane, Castle Donington, Derbyshire DE74 2LJ
- Cosby Library, Park Road, Cosby, Leicestershire, LE9 1RN
- Countesthorpe Library, Station Road, Countesthorpe, Leicestershire, LE8 5TB
- Desford Library, Main Street, Desford, Leicestershire, LE9 9JP

- East Goscote Library, 20 Ling Dale, East Goscote, Leicestershire, LE7 3XW
- Enderby Library, Townsend Road, Enderby, Leicestershire, LE19 4PG
- Fleckney Library, School Street, Fleckney, Leicestershire, LE8 8AS
- Glenhills Library, Glen Parva Parish Hall, Dorothy Avenue, Leicester, LE2 9JD
- Great Glen Library, Ruperts Way, Great Glen, Leicestershire, LE8 9GR
- Groby Library, Leicester Road, Groby, Leicestershire, LE6 0DQ
- Hathern Library, Greenhill, Hathern, Loughborough, Leicestershire, LE12 5LF
- Ibstock Library, Community College, Central Avenue, Ibstock, Leicestershire, LE67 6NE
- Kegworth Library, High Street, Kegworth, Derbyshire, DE74 2DA
- Kibworth Library, Paget Street, Kibworth, Leicestershire, LE8 0HW
- Kirby Muxloe Library, Station Road, Kirby Muxloe, Leicestershire, LE9 2EN
- Leicester Forest East Library, 76 Rushmere Walk, Leicester, LE3 3PD
- Market Bosworth Library, Station Road, Market Bosworth, Nuneaton, Warwickshire, CV13 0NP
- Markfield Library, Oakfield Avenue, Markfield, Leicestershire, LE67 9WG
- Measham Library, Thorpe Road, Measham, DE12 7HR.
- Mountsorrel Library, Church House, The Green, Mountsorrel, Leicestershire, LE12 7AF
- Narborough Library, Station Road, Narborough, Leicestershire, LE19 2HR
- Newbold Verdon Library, Sparkenhoe, Main Street, Newbold Verdon, Leicestershire, LE9 9NP
- Quorn Library, Rawlins Academy, Loughborough Road, Quorn, Leicestershire, LE12 8DY
- Ratby Library, Main Street, Ratby, Leicestershire, LE6 0LN
- Rothley Library, Mountsorrel Lane, Rothley, Leicestershire, LE7 7PS
- Sapcote Library, Church Street, Sapcote, Leicestershire, LE9 4FG
- Sileby Library, Cossington Road, Sileby, Loughborough, Leicestershire, LE12 7RS
- Stoney Stanton Library, St Michaels Court, Stoney Stanton, Leicestershire, LE9 4TH
- South Wigston Library, Bassett Street, South Wigston, Leicester, LE18 4PE
- Thurmaston Library, Church Hill Road, Thurmaston, Leicestershire, LE4 8DE

Museums & Heritage Sites

- Bosworth Battlefield, Heritage Site and Country Park, Sutton Cheney, Nuneaton, Warwickshire, CV13 0AD
- Century Theatre, Ashby Road, Coalville, Leicestershire, LE67 3LN
- Charnwood Museum, Granby Street, Loughborough, Leicestershire, LE11 3DU
- Donington le Heath Manor House, Manor Road, Coalville, Leicestershire, LE67 2FW
- Harborough Museum, Leicestershire County Council, The Symington Building, Adam and Eve Street, Market Harborough LE16 7LT
- Melton Carnegie Museum, Thorpe End, Melton Mowbray, Leicestershire, LE13 1RB

Records Office

- Records Office of Leicestershire, Leicester and Rutland, Long Street, Wigston Magna, Leicestershire, LE18 2AH

Leicestershire County Council

Full Business Case

CONCEPT | DEFINITION | INITIATION | DELIVERY | CLOSURE | REVIEW

Leicestershire County Council

Project Name	Smart Libraries

1. Management Summary

Introduction	**Introduction and purpose of the Smart Libraries** Smart Libraries are one element of the implementation of the Communities & Wellbeing Strategy ("Providing Less: Supporting More – Our Vision and Strategy for Communities & Wellbeing 2016-20"). This Full Business Case details the overall approach, high level plan and options for implementation which deliver savings and other benefits as part of the wider implementation of the C&W Strategy. **Background to C&W Strategy** On 17th February 2016 the Council agreed the Medium Term Financial Strategy (MTFS) for 2016/17 – 2019/20 which included £1.9million savings for the C&W service to be delivered by 2018/19. It was recognised that to deliver these savings a revised service strategy was needed: one that moved away from the direct provision of services and instead supported communities and individuals to manage their own delivery and access. Therefore the C&W Strategy ("Providing Less: Supporting More – Our Vision and Strategy for Communities & Wellbeing 2016-20") was developed, consulted on and subsequently agreed by Cabinet on 18th July 2016. The strategy explains how the service will enable access to its services in the future and contribute to the Council's key strategies relating to children and families, adult social care, health, the economy, digital access, tourism and skills by working in partnership with other organisations and local communities. The approach detailed in the strategy focuses on three strategic areas, one of which is "Access to Services". Public consultation regarding the strategy identified that exploring "the use of technology to increase self-service at some venues" was a preferred way in which people could be supported to access services. **Background to Smart Libraries** The installation of smart library technology allows a library to operate in self-service mode by: a. Enabling customers to "swipe" their library card to obtain entry to and exit from the library. b. Providing self-service loan and return kiosks which enable customers to borrow, return and renew items (including the payment of charges). Therefore, the technology has the potential to reduce traditional staffing requirements and increase opening hours. Self-service loan and return kiosks have been in the council's 16 market town and shopping centre libraries since 2009-10. Monitoring undertaken since their installation indicates that 80-90% of all transactions (loans, returns and renewals) are completed using the kiosks. The contract for kiosk provision was due to expire on 28th February 2017 but was recently extended to the end of February 2018. The contract may be further extended to February 2019, however, the kiosks now require replacement due to "wear and tear" and future support and maintenance costs. There is a current ESPO Framework (no 350) which covers RIFD (Radio Frequency Identification)

products which include smart library technology (self-service access) and self-service kiosks. Market testing based on this contract was undertaken in March 2016. This market testing identified that:

a. Prices in the sector have reduced and that a re-procurement of the contract could deliver savings of between £12k and £153K over a 10 year period based on the current contract prices.
b. Should smart library technology be installed, a single supplier should ideally be selected for both this and kiosk replacement. This would:
    i. Ensure compatibility between the two systems;
    ii. Enable efficient use of resources by the council and its preferred supplier;
    iii. Offer potential to secure the most advantageous price.

In addition, a group of officers and members visited Peterborough City Council where smart library technology has been installed in all of the city's 10 libraries. As a result Peterborough have reported savings of over £300K per annum whilst increasing opening by 125 hours per week.

An Outline Business Case was considered by the Transformation Design Authority on 13th September 2016. It was agreed that the project be approved as an emerging project, pending further consideration of whether the project is transformational or "business as usual" at Full Business Case stage.

On 23rd November 2016 Cabinet approved the early implementation of smart library technology (i.e. kiosk replacement and self-service access) at Syston library. The 'lessons learned' and feedback from the early implementation has informed this Full Business Case.

Early Implementation at Syston Library

The early implementation of smart library technology at Syston library started on 14th March 2017.

From this date, the library's staffed opening hours were unchanged but an additional 24 unstaffed opening hours have been provided. This subsequently increased to 30 hours on 26th April. The revised pattern of opening hours mean that the library is now open 6 days per week from 8.00am until 7.00pm, excluding Saturday when the library closes at 3.00pm.

In order to access the library during these additional times library users are required to attend an induction event and sign a user agreement which set out the terms and conditions of use.

As the early implementation phase is ongoing, it has not been possible to include a full evaluation of the pilot as part of this Business Case. However, after being "live" for 4 weeks:

- 125 "smart library" users were registered;
- 48% of "smart library" visits were by people aged 60+;
- A enquiry had been made from a member of the community about running a digital photography course at the library during unstaffed opening hours;
- The use of smart library technology has been identified as a potential solution to issues relating to the "locking up" of libraries following LALS courses taking place when the library is unstaffed.

A detailed analysis of the early implementation will be undertaken in June 2017 and will be included in the report that will go to Cabinet in September 2017.

	Potential Contingency Plans It is acknowledged that if the Smart Libraries project (or any other projects/BAU activity to implement the C&W Strategy) fails to deliver the anticipated financial savings and other associated benefits it will be necessary implement contingency actions to deliver the full savings requirement. Potential contingency actions could include: a. Replacement of existing library service assistants with volunteers at some of the council's 16 market town and shopping centre libraries. b. Transferring management of some of the council's 16 market town and shopping centre libraries to community organisations. c. Library closure(s). d. End of non-statutory service provision (e.g. museums, heritage, care-on-line). e. Further reduction of opening hours and/or staffed hours. All of these potential actions would deliver savings in relation to staffing costs. However, where buildings (i.e. libraries, museums or heritage sites) are held freehold the council (C&W service and Property services) would continue to incur premises related expenditure (i.e. rates, insurance, utility costs and essential repairs) until buildings can be "mothballed". It should also be noted that: • "Mothballing" a building reduces utility costs only; • For leasehold buildings the council would be required to continue to make rental payments; • Any capital receipts resulting from the disposal of a building(s) may be allocated to Property Services rather than the C&W service. • Some properties are subject to contingent liabilities thereby increasing costs. Lessons learned from previous projects indicate that the key risk of these contingency actions would be potential for legal challenge on the grounds that the council would be failing to meet its statutory duty to deliver a "comprehensive and efficient" library service. The consequences of this would be: • Additional legal costs; • Delays in implementation timescales and the subsequent delivery of savings/benefits; • Negative publicity and reputational damage to the council.
Scope	This business case focuses on: • Replacement of self service kiosks at the council's 16 market town and shopping centre libraries on a "like for like" basis. These libraries are located in Ashby de la Zouch, Birstall, Blaby, Broughton Astley, Coalville, Earl Shilton, Glenfield, Hinckley, Loughborough, Lutterworth, Market Harborough, Melton Mowbray, Oadby, Shepshed, Syston and Wigston. • Potential for installation and implementation of smart library technology at these libraries with the exception of Market Harborough. Although, it is recognised that achieving the full scope will be constrained by: • The suitability of each site for smart library technology as identified by a specialist survey completed before installation. For example, it has already been identified that the library located in the Symington Building, Market Harborough, is not suitable for smart library technology as this is a multi-function building which provides museum and other council services. • The outcome of requests for permission to install and implement smart library technology at libraries located in leasehold properties (i.e. Glenfield, Lutterworth, Melton Mowbray and Oadby).

	• The conditions of any planning consents which may limit opening hours and the outcome of any subsequent required re-application of consents.
Aims and Objectives	The aims and objectives of the project are: • The replacement of the current 30 kiosks (and associated equipment) • To complete the replacement by 28th February 2019, the final date to which the current contract can be extended (subject to appropriate permissions). And following the implementation of smart library technology: • To reduce the number of staffed hours at each library to deliver savings. • To increase library opening hours. The benefits this will deliver are: • Improved performance, reliability and user friendliness of self service kiosks. • Increased accessibility due to increased opening hours. • Increased opportunities for libraries to be used by community groups due to increased opening hours, potentially increasing income to the service. • Increased opportunities for library to be used by LCC and partner organisations as a service venue/work space due to increased opening hours. Again, potentially increasing income to the service. • Compliance with the forthcoming requirement for all payment points to offer contactless card payment facilities by 1st January 2020.
Preferred Option	**Option 2 - Full Smart Library Implementation**
Rationale	• **Savings** – achieves total savings of £850K over a five year period for the C&W Service (£200k per annum approximately during years 2-5). • **Customers** – increases customer access and provides improved facilities (i.e. replacement kiosks). • **Communities** – enables the further development of libraries as community spaces. • **Political** – enables the delivery of savings without having to reduce service delivery and/or venues. • **Strategic** – is aligned with the C&W strategic aim of "Enabling Access" and wider corporate strategic aims (e.g. Digital Leicestershire). • **Compliance** – compliance with forthcoming requirements regarding contactless payment.
Recommendations	**It is recommended that, subject to Cabinet approval, Option 2 is agreed.**

2. Options Appraisal

Baseline Position (Do Nothing)	The current baseline involves maintaining the existing kiosks until the current contract expires. This contract has a current end date of 28th February 2018 and could, subject to the necessary permissions, be further extended to 28th February 2019. **Benefits** • No capital funding is required. • No additional revenue costs are incurred. • No service disruption due to library closure during replacement or installation of technology.

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Baseline Assumptions (Do Nothing)

General

- The current supplier does not seek to terminate the contract before its planned end date.
- The current supplier does not seek to renegotiate the current contract costs.
- Requests to further extend the current contract will be agreed.
- Does not include costs of actions that would be required following end of current contracts (e.g. increase staffing, replace kiosks).

Baseline Dependencies and Interfaces (Do Nothing)

Dependencies

- The wider implementation of the C&W Strategy and the delivery of the required savings.

Baseline Financial Summary (Do Nothing)

	Project Cost			Savings Estimates (Operations)				
Category	**2017/18**	**2018/19**	**2019/20**	**2017/18**	**2018/19**	**2019/20**	**2020/21**	**2021/22**
Capitalised resource costs	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Capital Expenditure	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Resource costs	£0.0	£0.0	£0.0	£1,418.6	£1,418.6	£1,418.6	£1,418.6	£1,418.6
Other Revenue Expenditure	£0.0	£0.0	£0.0	£244.3	£244.3	£244.3	£244.3	£244.3
Income	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Contingency	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Cash Flow - Baseline	**£0.0**	**£0.0**	**£0.0**	**£1,662.9**	**£1,662.9**	**£1,662.9**	**£1,662.9**	**£1,662.9**

Baseline Top 5 Risks (Do Nothing)

Risk	Mitigation	Current Risk Score	Financial Impact
Savings are not delivered	Additional savings to be identified from libraries and other service areas in C&W	25	MTFS savings targets are not met.
Additional repair and maintenance costs of due to the age/condition of kiosks	Negotiate with current supplier to continue to support/maintain kiosks at current contract prices	9	Revenue costs re support and maintenance continue “as is”.
Reduced customer satisfaction due to increased incidences of kiosk failure/breakdown	Ensure operational processes are in place re kiosk failure or breakdown. (Re)negotiate SLA with supplier to ensure timely repair of kiosks.	12	No direct impact
Non-compliance with the requirement for all payment points to offer contactless card payment facilities by 1st January 2020.	All transactions involving payment to be undertaken by library service assistants at the “front desk”.	15	Potential impact if financial penalties are introduced and enforced for non-compliance
Non-compliance with corporate contract procedure rules if contract is not re-tendered.	Ensure appropriate permissions are obtained prior to extending the current contract	9	Failure to benefit from reduced costs across RIFD sector.

Option 1 Kiosk Replacement Only	This option would result in the necessary replacement of the 30 kiosks (and associated equipment) currently installed across the 16 market town and shopping centre libraries. **Financial Benefits** • Savings in revenue costs arising from new contract prices (see Option 1 -Financial Summary). **Non Financial Benefits** • Minimal service change for library users as use of kiosks is established. • Improved, performance, reliability and user friendliness of self service kiosks. • Reduced incidence of kiosk failure/breakdown requiring action by operational staff. • Compliance with forthcoming requirement for all payment points to offer contactless card payment facilities by 1st January 2020.
Option 1 Assumptions	**General** • Procurement of replacement kiosks will be undertaken using ESPO Framework Contract (no 350). • The current supplier does not seek to terminate the contract before its planned end date or seek to renegotiate costs. • Requests to further extend the current supplier's contract pending the completion of the kiosk replacement will be agreed. • Kiosk replacement will not require any building works to be undertaken. • Staff resource requirement to come from BAU (e.g. C&W, Property Services, ICT). • Kiosks and associated equipment will be replaced on a "like for like" basis. **Financial (Capital Costs)** • Costs are based on those submitted by the current contracted supplier as part of the market testing exercise undertaken in March 2016. • Cost of equipment will be incurred in full when order is placed following completion of procurement exercise. **Financial (Revenue Costs)** • Assumption 65K new items of book stock are added each year. **Financial (Savings Estimate)** • Existing patterns of staffed hours will be maintained following the replacement of kiosks.
Option 1 Dependencies and Interfaces	**Dependencies** • The wider implementation of the C&W Strategy. **Interfaces** • The Using Buildings Better Programme (UBB)

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Option 1 Financial Summary

Category	Project Cost 2017/18	Project Cost 2018/19	Project Cost 2019/20	Savings Estimate (Operation) 2017/18	Savings Estimate (Operation) 2018/19	Savings Estimate (Operation) 2019/20	Savings Estimate (Operation) 2020/21	Savings Estimate (Operation) 2021/22
Capitalised resource costs	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Capital Expenditure	£229.6	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Resource costs	£0.0	£0.0	£0.0	£1,418.6	£1,418.6	£1,418.6	£1,418.6	£1,418.6
Other Revenue Expenditure	£0.0	£23.4	£0.0	£244.3	£232.6	£239.3	£239.3	£239.3
Income	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Contingency	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Cash Flow - Option 1	**£229.6**	**£23.4**	**£0.0**	**£1,662.9**	**£1,651.2**	**£1,657.9**	**£1,657.9**	**£1,657.9**
Cash Flow - Baseline	**£0.0**	**£0.0**	**£0.0**	**£1,662.9**	**£1,662.9**	**£1,662.9**	**£1,662.9**	**£1,662.9**
Cash Flow - Change	**£229.6**	**£23.4**	**£0.0**	**£0.0**	**-£11.7**	**-£5.0**	**-£5.0**	**-£5.0**

Option 1 Top 5 Risks

Risk	Mitigation	Current Risk Score	Financial Impact
Savings are not delivered	Additional savings to be identified from libraries and other service areas in C&W	25	MTFS savings targets are not met.
Insufficient BAU resources to undertake implementation	Ensure robust resource plan is completed. If appropriate, ensure additional resources are secured.	12	Implementation costs increase.
Supplier delays	Establish regular meetings with supplier during implementation. Ensure supplier contract includes robust SLA which includes penalties re late delivery.	12	Potential delay in delivery of savings
Technology failure	Ensure supplier contract includes robust SLA which includes penalties re technology failure. Operational contingency plans to be in place should technology failure occur.	12	Potential impact if financial penalties are introduced and enforced as part of the SLA
Additional costs identified during implementation	Ensure implementation budget includes adequate contingency. Ensure appropriate escalation should contingency/cost tolerance be exceeded.	9	Implementation costs increase/savings reduce.

Option 2 Full Smart Library Implementation –	This option would result in: • Replacement of the 30 kiosks (and associated equipment) currently installed across the 16 market town and shopping centre libraries; • Installation of smart library technology to enable self-service access. **Financial Benefits –** (see Option 2 – Financial Summary**)** • Savings in revenue costs in relation to the purchase, operation and maintenance of kiosks under the current ESPO framework contract. • Savings in revenue costs arising from reductions in staffed hours in libraries. **Non Financial Benefits** • Reduced incidence of kiosk failure/breakdown requiring action by operational staff. • Compliance with forthcoming requirement for all payment points to offer contactless card payment facilities by 1st January 2020. • Improved, performance, reliability and user friendliness of self service kiosks. • Increased accessibility to due to increased opening hours (potentially 25-30 additional hours per week). • Increased opportunities for libraries to be used by community groups due to increased opening hours. • Increased opportunities for library to be used by LCC and partner organisations as a service venue/work space due to increased opening hours. • Offers potential solution to operational issues (e.g. insufficient staffing due to unplanned absence).
Option 2 Assumptions	**General** • Procurement of replacement kiosks will be undertaken using ESPO Framework Contract (no 350). • The current supplier does not seek to terminate the contract before its planned end date or seek to renegotiate costs. • Requests to further extend the current supplier's contract pending the completion of the project will be agreed. • Additional building works will be required to enable the installation/implementation of smart library technology • Staff resource requirement to come from a mix of BAU (e.g. C&W, Property Services, ICT), Transformation Unit and project specific resources. • Transformation Unit resources (PM and/or PSO) will be available to oversee implementation and delivery of the project. • Kiosks and associated equipment will be replaced on a "like for like" basis. • Smart Library technology will be installed in 15 libraries (i.e. excluding Market Harborough). • Implementation would be undertaken using a "library cluster" approach. • HR Action Plans would be implemented on a rolling basis in line with the above "library cluster" approach. • Implementation of smart library technology does not require full public consultation to be undertaken.

	Financial (Capital Costs) • Capital costs to be met from Capital Grant allocations in 2017/18 and 2018/19. • Costs are based on those submitted by the current contracted supplier as part of the market testing exercise undertaken in March 2016. • Cost of equipment will be incurred in full when order is placed following completion of procurement exercise. • A cost of £30k per library for smart library installation has been assumed which includes smart library technology, associated building works, traded services fees (10% of costs) and contingency (20%). The actual cost will be determined following the completion of a site survey at each library. • A cost of £5k per leasehold library has been included for reimbursement of landlords' of legal costs.
	Financial (Revenue Costs) • Costs assume 65K new items of book stock are added each year. • Utility costs increase by 30% following implementation as a result of increased opening hours. • FM costs (i.e. cleaning) increase by 20% following implementation as a result of increased use of the library. • Costs for CCTV monitoring are based on those supplied by Regent (LCC contractor) for CCTV monitoring 10 hours per day, 6 days per week. • Revenue costs do not include HR Action Plan implementation costs (i.e. redundancy, compensation, pension release, etc.)
	Financial (Savings Estimate) • Staffed hours would be reduced in libraries as smart library technology is installed. • Opening hours will increase at all libraries where smart library technology has been installed.
Option 2 Dependencies and Interfaces	**Dependencies** • The wider implementation of the C&W Strategy. • Continued availability of Capital Grant funding. • Cabinet approval to implement the 'roll-out' of smart library technology (scheduled for September 2017). **Interfaces** • The Using Buildings Better Programme (UBB). • Rollout of Superfast Broadband. • Digital Leicestershire initiative • Community Managed Libraries project • Leicestershire's Community Strategy (in development)

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Option 2 Financial Summary

	Project Costs			Savings Estimate (Operation)				
Category	**2017/18**	**2018/19**	**2019/20**	**2017/18**	**2018/19**	**2019/20**	**2020/21**	**2021/22**
Capitalised resource costs	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Capital Expenditure	£229.6	£634.9	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Resource costs	£51.3	£34.5	£8.6	£1,418.6	£1,184.1	£1,073.0	£1,073.0	£1,073.0
Other Revenue Expenditure	£0.0	£24.8	£0.0	£245.6	£320.4	£359.0	£359.0	£359.0
Income	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Contingency	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0	£0.0
Cash Flow - Option 2	**£280.9**	**£694.1**	**£8.6**	**£1,664.2**	**£1,504.5**	**£1,432.0**	**£1,432.0**	**£1,432.0**
Cash Flow - Baseline	**£0.0**	**£0.0**	**£0.0**	**£1,662.9**	**£1,662.9**	**£1,662.9**	**£1,662.9**	**£1,662.9**
Cash Flow - Change	**£280.9**	**£694.1**	**£8.6**	**£1.3**	**-£158.4**	**-£230.9**	**-£230.9**	**-£230.9**

Option 2 Top 5 Risks

Risk	Mitigation	Current Risk Score	Financial Impact
Savings are not delivered	Further savings to be identified from libraries and other service areas in C&W	12	MTFS savings targets are not met.
Building related issues impact on project timescales and costs	Undertake library surveys to identify any issues prior to commencing implementation. Include contingency in project costs.	12	Increased project costs. Anticipated savings not delivered.
Failure to obtain necessary permissions and/or conditions of planning consents prevent installation	Make early contact with landlords of leaseholds sites. Confirm conditions of planning consents prior to commencing implementation	12	Additional legal costs. Anticipated savings not delivered.
Negative public reaction	Develop and implement comprehensive public communication plan. Proactive media reporting of "good" new stories associated with smart libraries	12	Potential impact if legal challenge made.
Lack of capacity/resources in BAU	Introduce backfill arrangements where appropriate OR recruitment of an “Implementation Officer” to support BAU to deliver the project. Secure additional Transformation resources	9	Cost of additional staffing requirement from Transformation fund

Options Summary		**Project Investment (£)**	**Capital Costs (£)**	**Operation Costs (ongoing pa)**	**Contingency***	**Financial Benefits ******	**NPV**	**Overall Risk Rating**
	Baseline			**£1662.9**	**n/a**		**£6997.9**	
	Option 1	**£253.0**	**£229.6**	**£1657.9**	**0%**	**-£26.6**	**£7731.8**	**RED**
	Option 2	**£983.5**	**£844.4**	**£1432.0**	**20%**	**-£849.8**	**£7698.8**	**AMBER**

* Contingency applied to smart library equipment and building costs only.
** Financial benefits are over 5 year period

3. Implementation Strategy for the Preferred Option

	Who are they?	**Why do they have an interest in the project?**	**What level of influence will they have on the success of the project? (H,M,L)**
Key Stakeholders	Library staff	• Affected by outcomes of the HR Action Plan • Changes to working practices and processes.	High
	Trade Unions	• Impact of the project on their members (i.e. library staff).	Medium
	Library Users	• Changes accessibility to the library (when and how) • Availability of library staff	High
	Members	• Changes to services delivered within their division/portfolio. • Dependencies with wider council priorities/objectives. • Potential impact on voting behaviours	High
	Community Groups Using the Library	• Changes accessibility to the library (when and how) • Availability of library staff	Medium
	Borough/District Councils & Town/Parish Councils	• Changes to services delivered within the local area. • Interface with local priorities/objectives.	Medium
	LCC Support Services (e.g. Property Services, ICT)	• Resources required to deliver the project. • Potential requirement to change working practices/processes	Medium
	Local Residents	• Impact on local services.	Medium
	C&W Strategy Steering Group	• Dependencies with wider C&W Strategy implementation	High
	Departmental Transformation Delivery Board (DTDB)	• Dependencies with wider AC&C transformation activity	High
	Corporate Transformation Delivery Board (TDB)	• Dependencies with wider corporate Transformation programme	High
	Service Suppliers	• Continuation of existing business with the Council. • Opportunity to secure new business with the Council.	High
	Community Managed Libraries (CMLs)	• Potential for use in CMLs • Potential impact on usage of CMLs (e.g. users may choose to use a CML during times library is unstaffed).	Low

	C&W Service	• Dependencies with wider C&W service objectives. • Availability of BAU resources. • Sharing of lessons learned applicable to other service areas.	Medium
	Education Providers	• Impact of changes to accessibility to the library and staff on pupils/students.	Low
Implementation Impact Analysis	**People** • Reduction in Library Service Assistants following implementation of a HR Action Plan. • Library Service Assistants role will focus on supporting vulnerable adults (i.e. older people, disabled adults), children and young people. • There will be a significant change for library users compared with current library provision. Libraries will be open for longer but with less staffed opening hours. Users will be required to "self serve". **Equalities and Human Rights** • The Equalities and Human Rights Impact Assessment (EHRIA) completed for the Smart Libraries Project identifies potential impacts for older people, people with disabilities, children and young people. However an EHRIA Action Plan which details appropriate mitigating actions to address these will be completed for each library. **Process** • Existing operational processes and procedures undertaken by library staff will be reviewed and revised to reflect the impact of smart library technology. • These changes will not have an impact on other parts of the service or the organisation. **Information and Data** • Data currently captured via the Library Management System (LMS) will be unchanged. • Additional data regarding smart library usage (i.e. who, where, when) will be made available for further analysis. **IT Systems** • Existing IT systems will not require replacing or updating. However, it will be necessary to install new and/or replace existing cabling to support the implementation of smart library technology. **Policies** • It is not anticipated that this project will require the review/amendment of any organisational policies. **Organisation** • Reduction in Library Service Assistants will impact on the required supervisory/managerial resource (to be addressed via the wider C&W service restructure). **Environmental** • It is not anticipated that this project will have a material environmental impact.		

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<table>
<tr><td>Implementation Approach</td><td colspan="8">Following Cabinet approval (currently scheduled for July 2017):
A procurement exercise to appoint a preferred supplier will be undertaken from July to September 2017.
Building surveys will be undertaken of the 15 libraries where smart library technology is to be installed
Discussions with landlords to obtain permission to enable installation of smart library technology at leasehold sites.
Following completion and sign off of the above, implementation would be undertaken on “library cluster” approach. For each library cluster this would involve:
Building works;
Installation of technology and replacement of kiosks;
System testing;
Registration of users;
Implementation of communication plan;
HR Action Plan.
Based on this approach is it anticipated that implementation will be completed by April 2019 (subject to approval of baselined project plan).</td></tr>
<tr><td rowspan="13">Resource Plan for Preferred Option</td><td rowspan="2">Resource Type</td><td rowspan="2">Post Title</td><td rowspan="2">Resource Requirement (Effort)</td><td colspan="3">Resource Requirement (Duration)</td><td colspan="2">Cost</td><td rowspan="2">Comments</td></tr>
<tr><td>Start</td><td>End</td><td>Total</td><td>Grade</td><td>£</td></tr>
<tr><td>TU</td><td>Project Manager</td><td>0.6 FTE</td><td>Apr 17</td><td>Mar 18</td><td>12 months</td><td>13</td><td>34866</td><td>To ensure project delivery</td></tr>
<tr><td>TU</td><td>Project Manager</td><td>0.1 FTE</td><td>Apr 18</td><td>Jun 19</td><td>15 months</td><td>13</td><td>7384</td><td>To provide project delivery oversight and complete project closure</td></tr>
<tr><td>TU</td><td>Project Support Officer</td><td>0.1 FTE</td><td>Jul 17</td><td>Mar 18</td><td>9 months</td><td>10</td><td>3015</td><td>To provide project support</td></tr>
<tr><td>TU</td><td>Project Support Officer</td><td>0.3 FTE</td><td>Apr 18</td><td>Jun 19</td><td>15 months</td><td>10</td><td>15326</td><td>As above</td></tr>
<tr><td>Project*</td><td>Locality Manager</td><td>0.5 FTE</td><td>Apr 17</td><td>Mar 18</td><td>12 months</td><td>13</td><td>29055</td><td>To lead operational workstream(s)</td></tr>
<tr><td>Project*</td><td>Locality Manager</td><td>0.2 FTE</td><td>Apr 18</td><td>Jun 19</td><td>15 months</td><td>13</td><td>14767</td><td>To oversee project delivery</td></tr>
<tr><td>Project*</td><td>Principal Manager(s)</td><td>0.5 FTE</td><td>Apr 17</td><td>Jun 19</td><td>27 months</td><td>11</td><td>50544</td><td>To deliver operational workstream(s)</td></tr>
<tr><td colspan="9">* These resource requirements will have be to be met either by “backfilling” existing roles or by the recruitment of a specific “Project Implementation Officer” to work with BAU to deliver the project.</td></tr>
<tr><td>BAU</td><td>Comms Officer</td><td>0.2 FTE</td><td>Apr 17</td><td>Mar 19</td><td>24 months</td><td>10</td><td>16222</td><td>To develop and deliver communication plan</td></tr>
<tr><td>BAU</td><td>HR Advisor</td><td>0.2 FTE</td><td>Jul 17</td><td>Jun 19</td><td>24 months</td><td>11</td><td>17992</td><td>To support development and implementation of HR Action Plans</td></tr>
<tr><td>BAU</td><td>Insurance Officer</td><td>0.1 FTE</td><td>Apr 17</td><td>Mar 19</td><td>24 months</td><td>10</td><td>8111</td><td>To ensure compliance</td></tr>
</table>

	BAU	Property Officer	0.2 FTE	Apr 17	Mar 19	24 months	10	16222	To deliver property workstream
	BAU	ICT Services Technician	0.2 FTE	Jul 17	Mar 19	21 months	10	14212	To deliver ICT workstream
	BAU	LMS Developme nt Manager	0.1 FTE	Jul 17	Mar 19	21 months	11	7689	To deliver LMS related product in operational workstream
	BAU	Head of Service	0.1 FTE	Apr 17	Jun 19	27 months	15	17247	To act as project SRO
	BAU	Solicitor	0.1 FTE	Apr 17	Mar 19	24 months	13	11724	To advise re legal compliance, leasehold and planning consent issues.

Completed by:	**Linsey Vincent**	Date:
Reviewed and Approved by SRO:	**Nigel Thomas**	Date:
Reviewed and Approved by TU Business Partner:	**Jo Wileman**	Date:

Syston library self-access (Library Plus) survey

Consultation survey results

July 2017

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Leicestershire County Council

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Produced by the Strategic Business Intelligence Team at Leicestershire County Council

With support from:

- Communities and Wellbeing, Leicestershire County Council
- Transformation Unit, Leicestershire County Council

Whilst every effort has been made to ensure the accuracy of the information contained within this report, Leicestershire County Council cannot be held responsible for any errors or omission relating to the data contained within the report.

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Chapter 1: Introduction & methodology

Background

In March 2017, the County Council introduced a three month pilot of SMART library technology at Syston Library, known as Library Plus. SMART library technology enables users to access the building outside of usual opening hours (unstaffed) with their library card in order to borrow, return and renew items or use the public computers, wi-fi and printing and copying facilities. During the three-month trial, library users have been able to take advantage of 30 additional opening hours per week, through the self-access scheme.

Smart Libraries are one element of the implementation of the Communities & Wellbeing Strategy ("Providing Less: Supporting More – Our Vision and Strategy for Communities & Wellbeing 2016-20"). The use of SMART library technology can reduce staff cost and increase public self-access to some library venues.

Syston library has been used to test out the technology, but also to find more out about how it might change the way that people use the library service. If the pilot is successful consideration will be given to rolling out of the scheme to other suitable libraries.

Overview of the process

Following the Syston library pilot, a survey was commissioned to gather views on self-access libraries, whether or not members have used Syston library during the Library Plus hours.

The survey was made available on the council website from 8th May 2017 and closed on 23rd June 2017.

The survey asked people for feedback on their use of the library service, their awareness and current use of Library Plus, and their likely use of the scheme in the future.

Communications and media activity

The council communicated the Syston Library Plus Survey in a number of ways, including:

- Email to all Syston library users (with a recorded email address)
- Publicity in Syston library
- Publicity during induction events for people signing up to use Library Plus

Communications activity was carried out as part of a wider communication plan about the pilot at Syston Library which has been ongoing since February 2017. This includes local television and press releases, library posters, e-blasts to a range of stakeholders, information on the County Council website and leaflet distribution to the local community. The survey was published online and a printed (offline) version was also made available. A freepost return address was provided for completed surveys to encourage responses.

Responses and respondent profile

Overview of responses

During the consultation period, 46 people responded to the survey. The majority (41) took part by completing an online survey, with the remainder returning a paper response (5).

Respondent profile

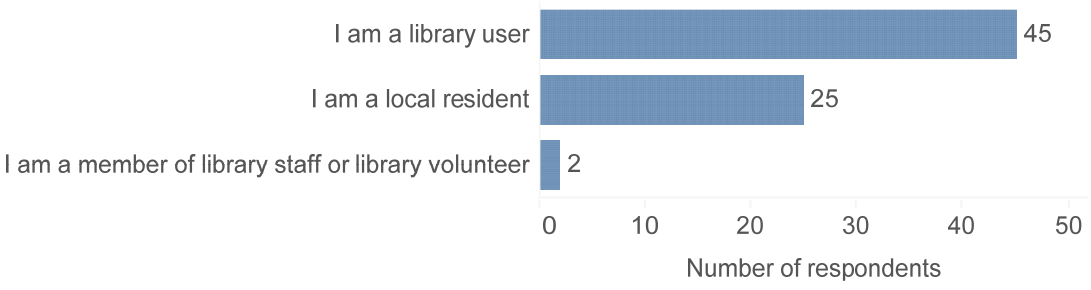
The questionnaire included a range of demographic questions on:

- Gender
- Gender identity
- Age
- Parent or carer of children
- Parent or carer of children (by age of children)
- Carer of an adult
- Long-term illness or disability
- Ethnicity
- Religion
- Number of cars in household
- Internet access
- Qualifications
- Economic status
- Council employee
- Sexual orientation

The sample size does not allow for statistical analysis of results across different demographic groups; however the demographic profile of those responding to the survey is reported in Appendix 2. The majority of respondents were aged over 45 years and of White ethnicity. 65% of respondents were female and 55% were wholly retired from work. 90% of respondents indicated that they had access to at least one car.

Most respondents were library users (41) and local residents (25) (Chart 1).

Chart 1 - Role in which responding (multiple choice) (Q1) (Base=46)



Analysis methodology

Graphs and tables have been used to assist explanation and analysis. Question results have been reported based on those who provided a valid response, i.e. taking out the 'don't know' responses and no replies.

Demographic analysis

The questionnaire included a range of demographic questions. The counts and percentages of responses to these questions and a map to illustrate the geographic spread of respondents are reported in Appendix 2.

Analysis of open-ended comments

The survey contained thirteen open-ended questions. 314 comments were coded from the responses to these questions. For the purpose of analysis, coding frames were devised for each of the questions. All of the comments were read and coded by analysts. The Libraries Service will be given all comments in full for further consideration.

Chapter 2: Current library use

Respondents were asked two questions about their current use of the library service.

Frequency of use (Q3)

Respondents were asked how often, if at all, they had visited either Syston library or another library over the last 12 months.

Chart 2 shows that over half (27) of respondents visited Syston library at least once a fortnight. 5 respondents visited another library at least once a fortnight, with 10 respondents indicating that they had never visited another library.

Chart 2 – Frequency of use over the last 12 months (Q3) - number of responses (Base=46)

	Several times a week	About once a week	About once a fortnight	About once a month	Every few months	About once a year	Less than once a year	Never used
Syston library	4	10	13	14	3	1		1
Another library	1	2	2	3	3	4	2	10

Frequency of use of Syston library (Q4)

Respondents were asked how often, if at all, they used a range of different services at Syston Library.

Chart 3 shows that the most popular activity was borrowing a book, followed by using the library to access information, use the public computers or use it for study / reference / education. Using the library to meet people received the lowest usage frequency amongst respondents, with 20 respondents indicating that they had never used the library for this purpose.

Chart 3 – Uses of Syston library service – number of responses (Q4) (Base=45)

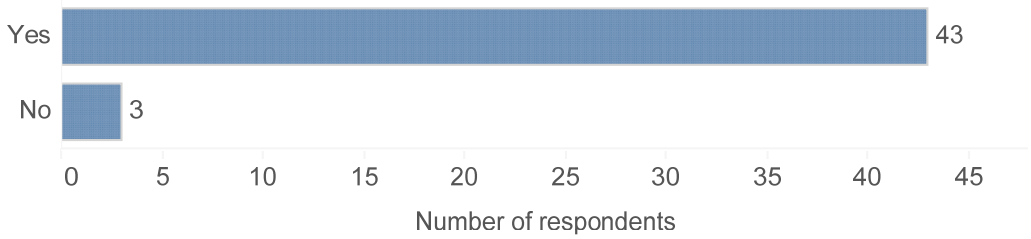
	Several times a week	About once a week	About once a fortnight	About once a month	Every few months	About once a year	Less than once a year	Never used
Accessed information	3	1	4	5	3	4	1	11
Borrowed a book	3	5	9	17	6	2		2
Used the printing/photocopying services	2	1	2	1		7	4	16
Used the public computers	2	4	4	2	2	4	2	10
Used the library for study/reference/education	1	1	2	4	6	3	2	10
Hired a DVD		1	2	2	6	3	1	13
Used the library space to meet people		1	1	3	1		3	20

Chapter 3: Library Plus

Awareness of Library Plus self-access hours (Q5)

Respondents were asked if they had heard about the Library Plus self-access hours at Syston Library before receiving the survey. Chart 4 shows that the majority of respondents had heard about the Library Plus self-access hours before completing the survey, with just 3 respondents indicating that they had not heard about it beforehand.

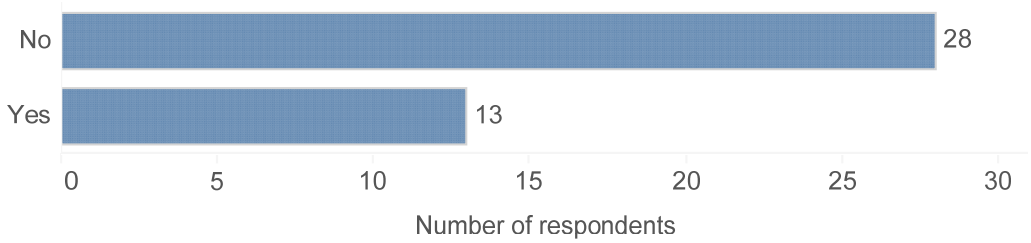
Chart 4 – Awareness of Library Plus self-access hours (Q5) (Base=46)



Joining the library to take advantage of Library Plus (Q6)

Respondents were asked if they had recently joined Syston library to take advantage of Library Plus and the extended opening hours. Chart 5 shows 13 respondents had recently joined for this reason.

Chart 5 – Joining the library to take advantage of Library Plus (Q6) (Base=41)

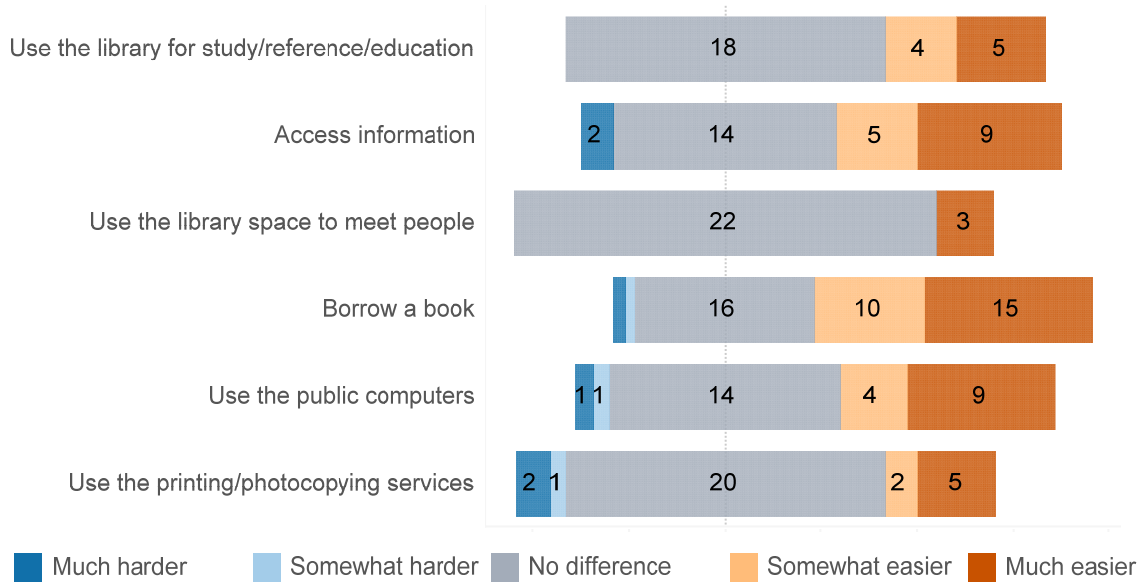


Ease of use (Q7)

Respondents were asked if the introduction of Library Plus had made it easier or harder to access various services at Syston library. As illustrated in chart 6, many respondents indicated that the introduction of Library Plus had made no difference to how easy or difficult it was to access certain services.

Over half of respondents indicated that borrowing a book was either somewhat easier (10) or much easier (15). Using the library to print/photocopy, access information, borrow a book and use the public computers received a few responses to indicate that these activities were harder.

Chart 6 – Ease of use (Q7) (Base=41)



Open comments

Respondents were asked to provide comments for their answer to Q7. Chart 7 shows 19 respondents provided positive comments regarding Library Plus, with 13 respondents indicating that Library Plus fits in with their current circumstances / schedule. Concerns expressed by respondents include potential issues with equipment e.g. computers not working and comments highlighting a need for staff to be present, for example to provide additional help or services.

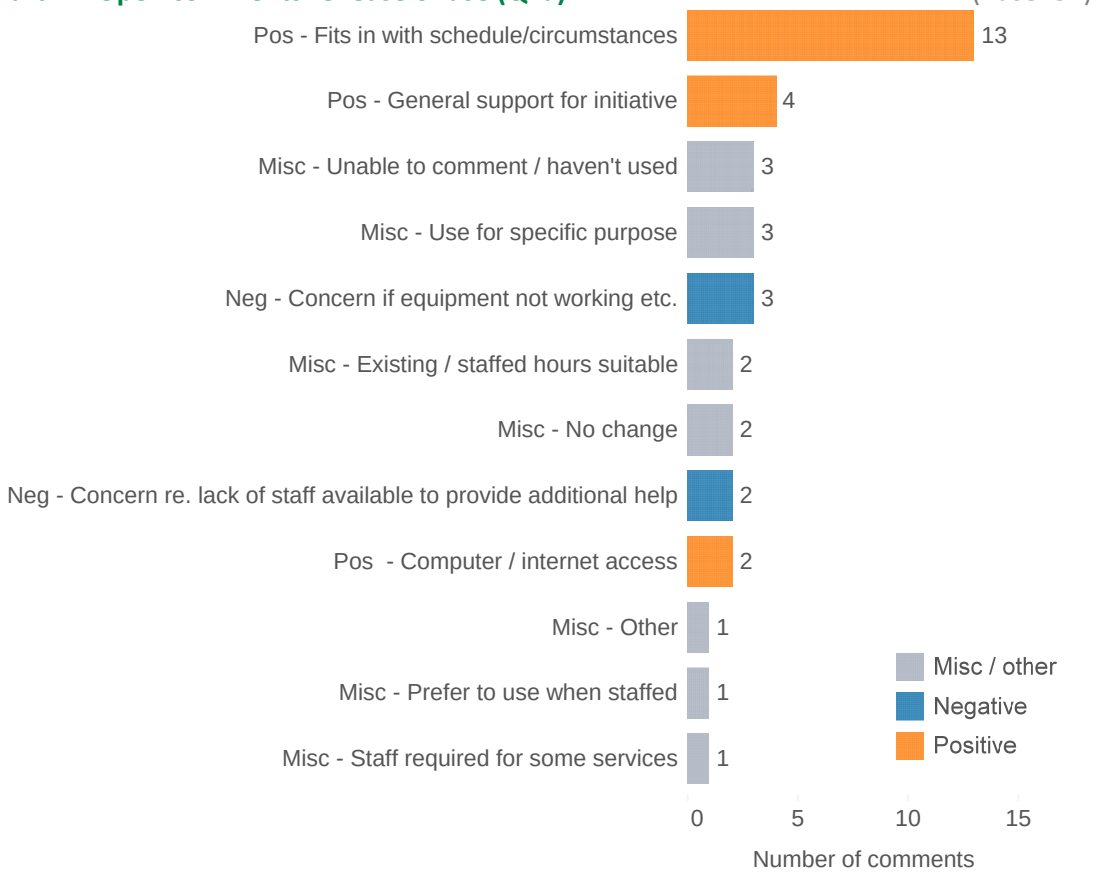
Indicative comments:

"In the past, I was never quite sure of opening times. Now the library is available at any normal shopping time"

"I can borrow books at a time convenient to me e.g. after shopping instead of having to wait for 10 a.m."

"Reducing staff hours would make it much harder for me. I love the friendly staff and I cannot print/photocopy without them. So people like me, who require help would lose this service."

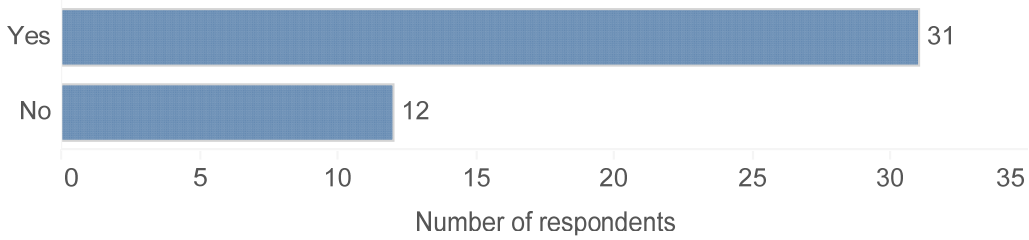
Chart 7 – Open comments re. ease of use (Q7a) (Base=37)



Registration for Library Plus (Q8)

Respondents were asked if they had signed up to use Library Plus. 31 out of 46 respondents indicated that they had signed up (Chart 8).

Chart 8 – Registration for Library Plus (Q8) (Base=43)

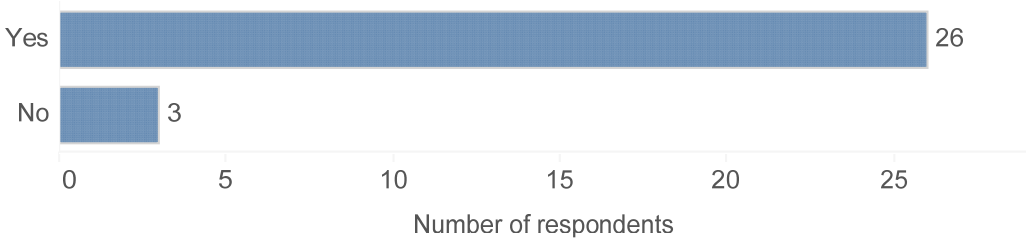


Induction (Q9-10)

Respondents who said 'Yes' to Q8 were then asked if they had been on the induction. 26 respondents indicated that they had been on the induction (Chart 9)

Chart 9 – Attendance at induction (Q9)

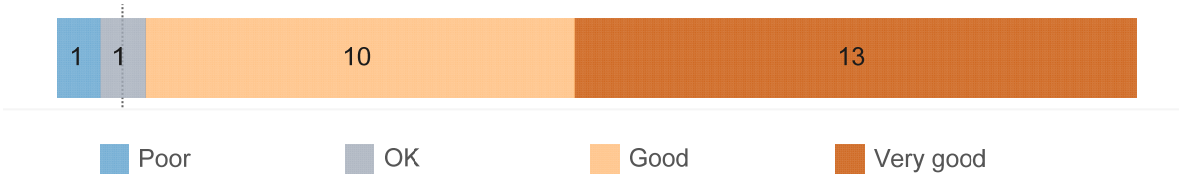
(Base=29)



Those who had been on the induction were asked to rate the induction process (Q10). Chart 10 shows the majority of respondents rated the induction process as 'good' or 'very good.'

Chart 10 – Induction process rating (Q10)

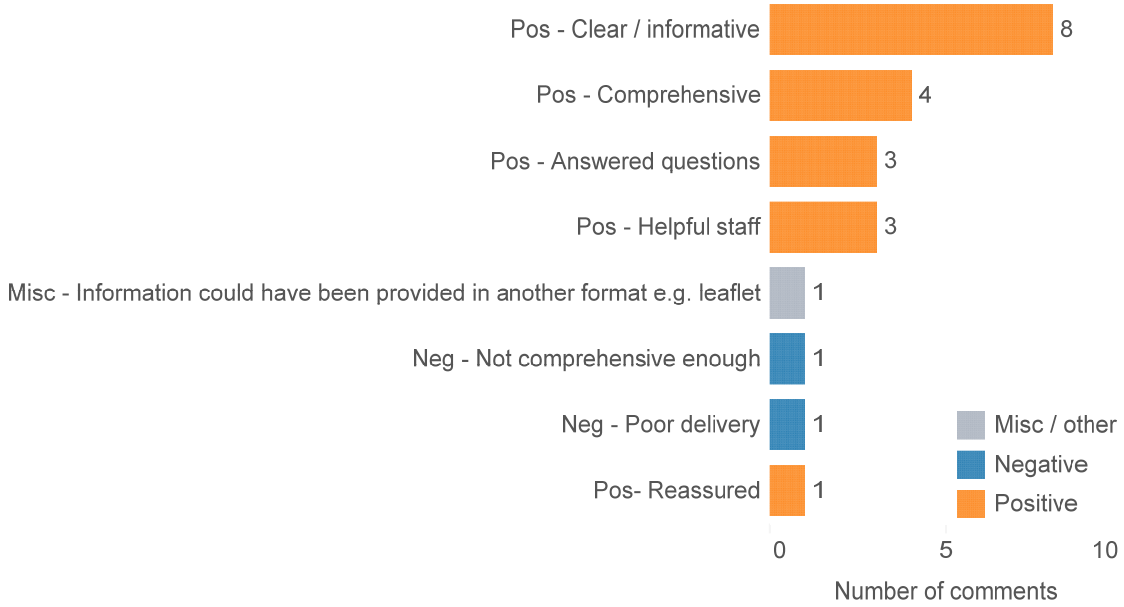
(Base=25)



Respondents were asked to provide comments for their answer to Q10. Chart 11 shows that the majority of comments were positive in nature. Many respondents indicated that the induction process was clear and informative, comprehensive and that staff were helpful. Just a couple of comments raised specific concerns regarding the induction process.

Chart 11 – Open comments re. induction process

(Base=22)

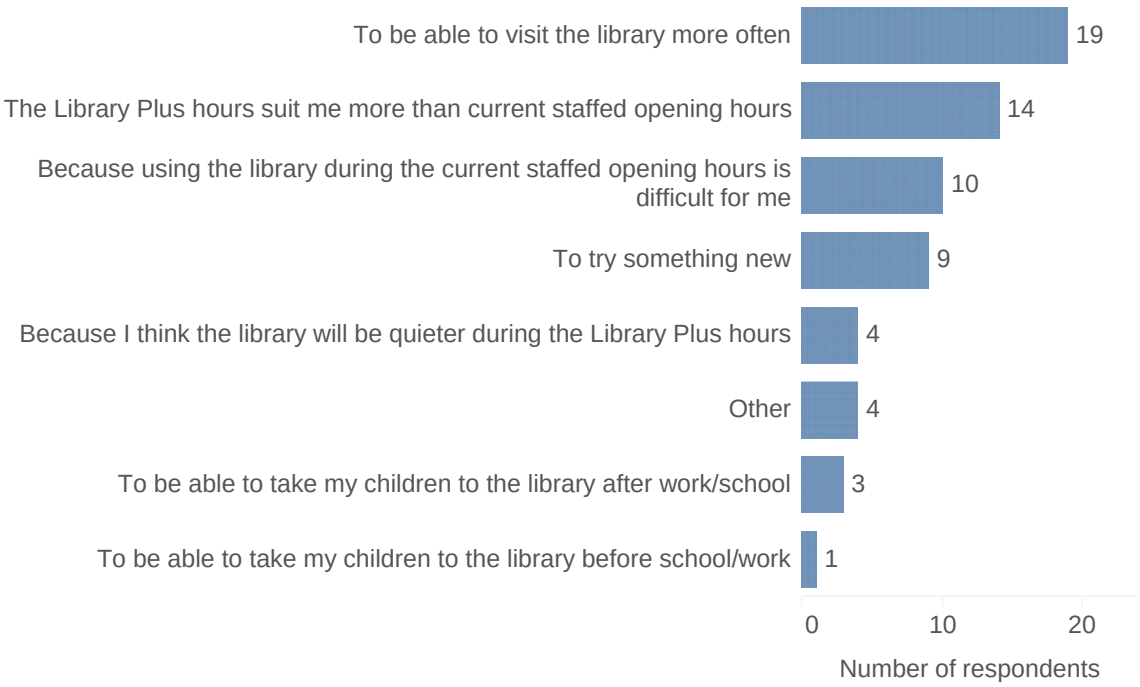


Reasons for signing up for Library Plus (Q11)

Respondents were asked why they had decided to sign up for Library Plus. Chart 12 shows the most popular reason was to be able to visit the library more often (19 responses). Other popular reasons included the fact that the Library Plus hours suited them more than the current staffed hours, and that using the library during staffed hours was more difficult for them. Other reasons for signing up included increased flexibility/choice, internet access, and staff suggestion.

Chart 12 – Reasons for signing up for Library Plus (Q11)

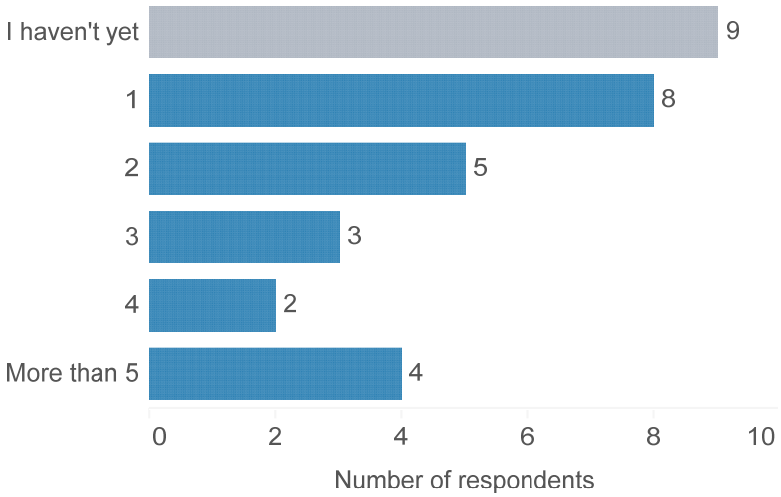
(Base=31)



Respondents were asked how many times they had used the library during Library Plus hours. As illustrated in chart 13, over half of respondents (22) had used the library during Library Plus hours at least once, with 4 respondents reporting that they had used it more than five times.

Chart 13 – Use of Library Plus hours (Q12)

(Base=31)

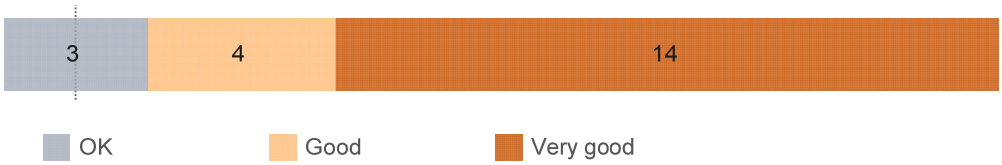


Rating of library plus (Q13)

Respondents were asked to rate their overall experience of using the library during Library Plus hours (Q13). Chart 14 shows that the majority of respondents to this question rated their overall experience as 'very good.' No respondents indicated that their overall experience was 'poor' or 'very poor'

Chart 14 – Rating of Library Plus hours (Q13)

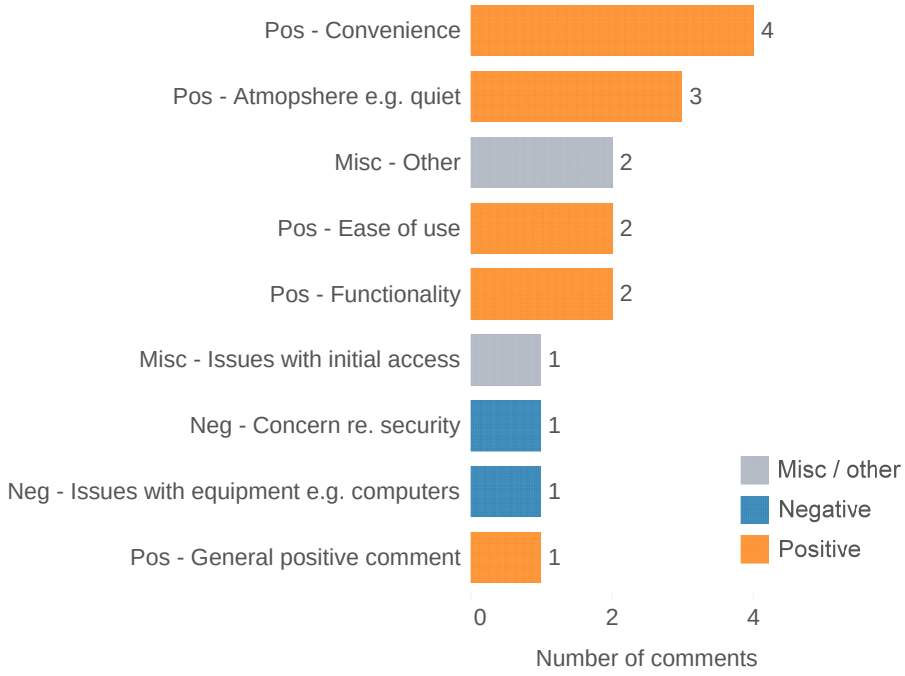
(Base=22)



Respondents were then asked to provide comments for their answers to Q13. 13 out of 18 comments provided were positive in nature, with the most common themes being convenience, atmosphere, and functionality. A couple of concerns were raised around security and potential issues with equipment e.g. computers.

Chart 15 – Open comments re. rating of Library Plus hours

(Base=17)



What respondents like most about Library Plus (Q14)

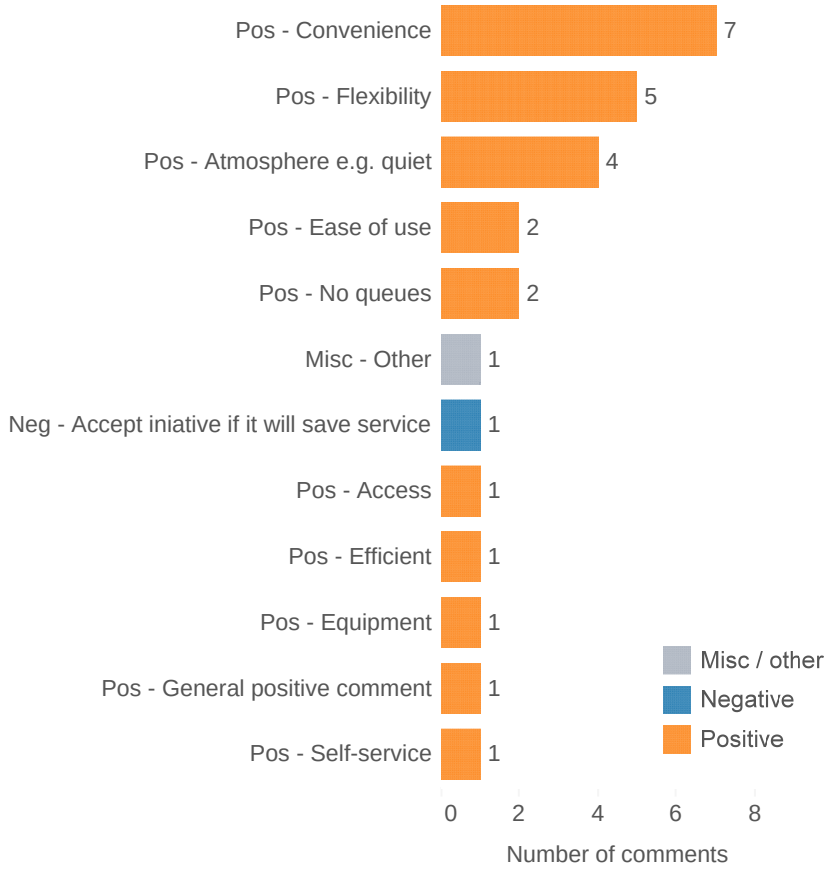
Q14 asked respondents what they liked most about the experience. The most popular themes amongst these comments were convenience and flexibility around accessing the library. Other respondents highlighted the atmosphere (e.g. quiet) and ease of use as positive aspects of their experience.

Indicative comments:

"Useful to have extra hours to access the library, I can fit my other activities in better"

"Being able to go to library at time to suit family - Saturday swimming lesson, then straight to library without having to go home."

Chart 16 – What respondents like most about Library Plus (Q14) (Base=27)

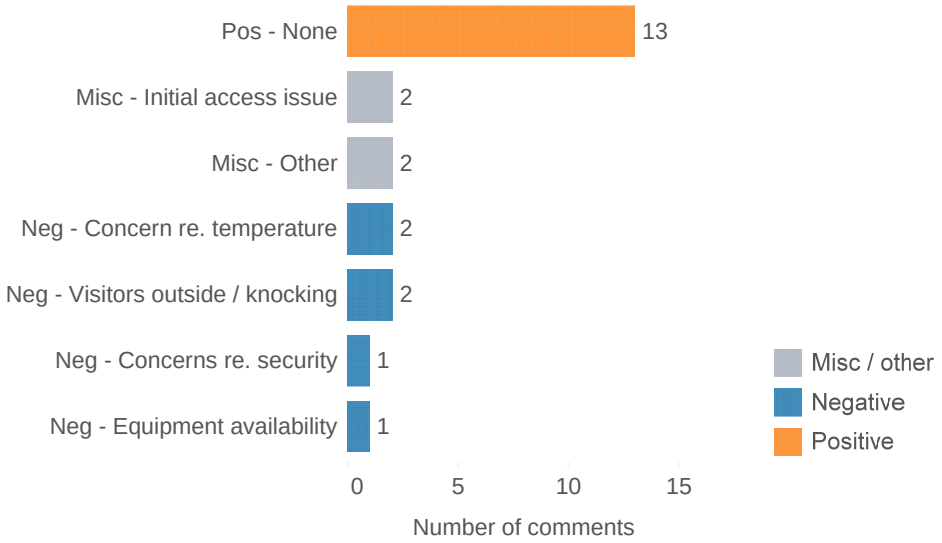


Issues encountered with Library Plus (Q15)

Respondents were asked to provide comments regarding any issues they had encountered (Q15). Chart 17 shows the majority of respondents who answered this question indicated that they not encountered any problems (13). Issues that were raised included security concerns, other people outside requesting access, initial access issues e.g. using card / pin and concerns regarding the temperature.

Chart 17 – Issues encountered with Library Plus (Q15)

(Base=23)

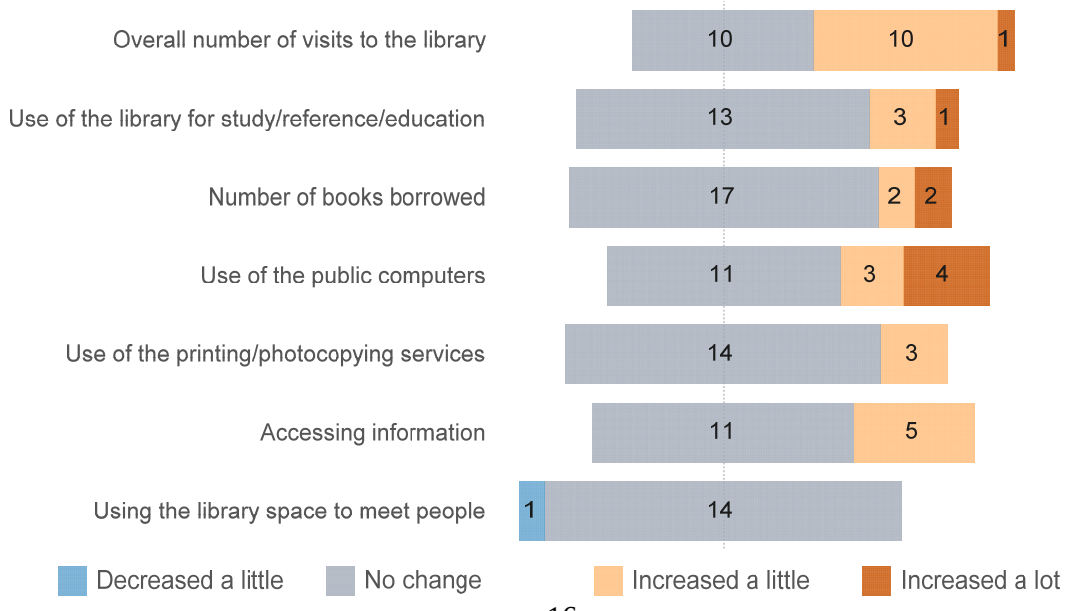


Change in library use since introduction of Library Plus (Q16-17)

Q16 asked respondents if their use of the library had changed since the introduction of Library Plus hours. As chart 18 shows, many respondents indicated that the introduction of Library Plus hours had made no change in their use of the library. 11 respondents indicated that the overall number of visits to the library had either increased a little or increased a lot and 7 respondents indicated that their use of the public computers had increased.

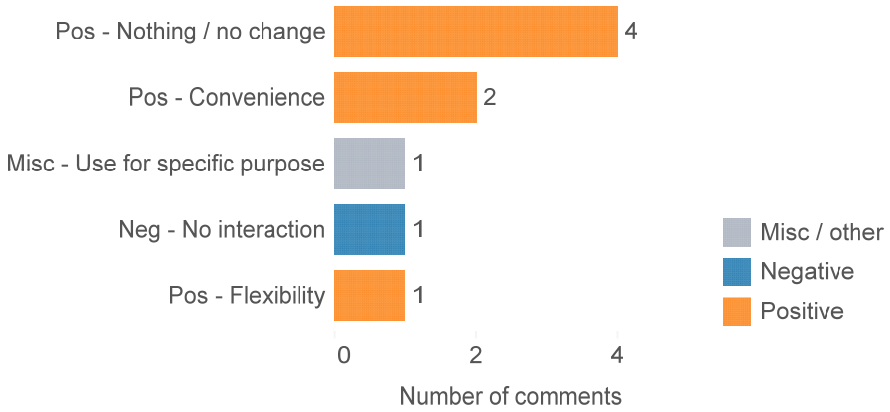
Chart 18 – Change in library use since introduction of Library Plus (Q16)

(Base=22)



Respondents were asked if anything else had changed about the way they used the library since the introduction of Library Plus hours (Q17). Of the nine comments received, four indicated that nothing else had changed. Two comments referenced the convenience of the hours and one respondent highlighted the lack of interaction with people.

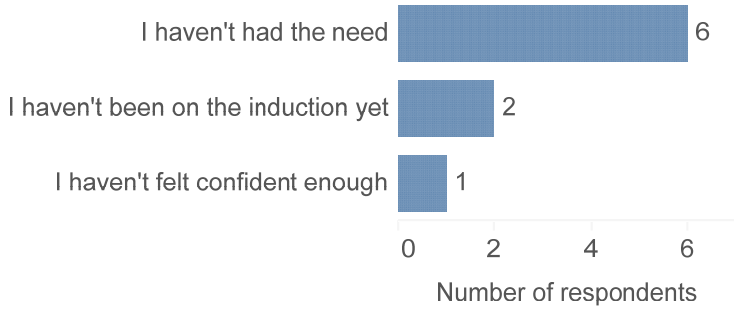
Chart 19 – Open comments re. change in library use (Q17) (Base=9)



Reasons for non-use (Q18)

Q18 asked respondents who had not used the library during Library Plus hours why this was the case. Chart 20 shows the most popular reason was that they had not had the need to use the library during Library Plus hours. Two respondents had not been on the induction yet and one respondent did not feel confident enough.

Chart 20 – Reasons for non-use (multiple choice) (Q18) (Base=8)

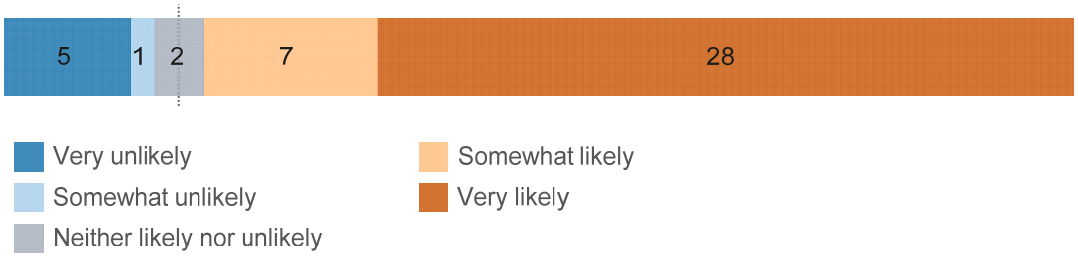


Future use (Q19)

Respondents were asked how likely they were to use the library during Library Plus hours in the future. Over half of respondents (28) selected 'very likely,' with 5 respondents indicating that they were 'very unlikely' to use the library during Library Plus hours in the future (chart 21).

Chart 21 – Likelihood of future use (Q19)

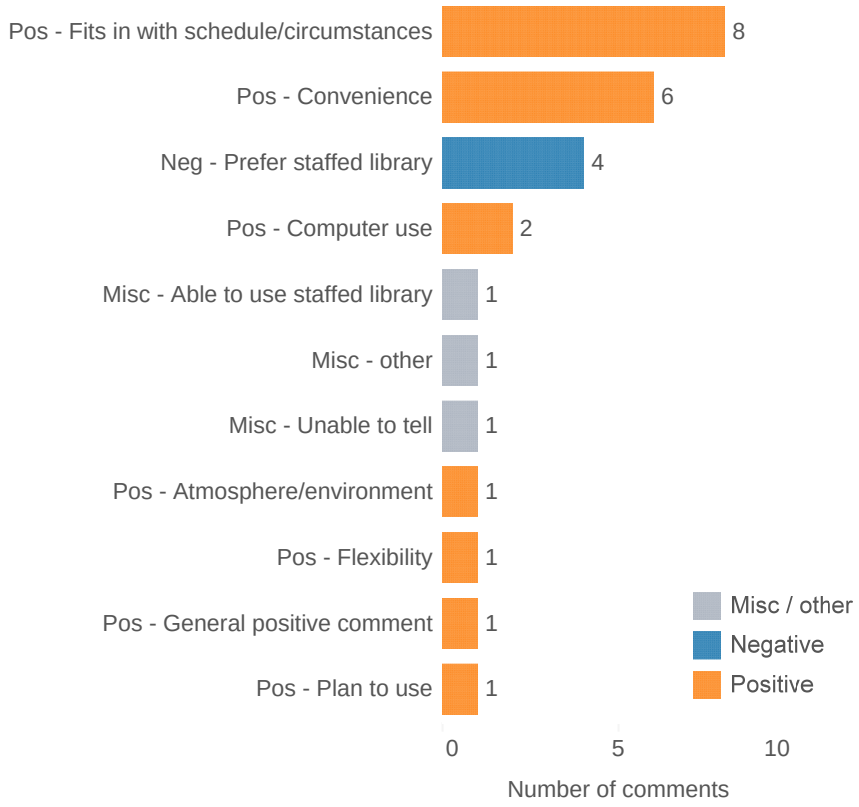
(Base=46)



Respondents were then asked to provide comments for their answer to Q19. Many comments referenced the fact that the hours fit in with personal circumstances/schedule and that the hours were convenient. Four comments highlighted a preference for visiting the library when staffed.

Chart 22 – Comments re. likelihood of future use

(Base=27)



Concerns (Q20)

Q20 asked respondents what, if any, concerns they had about using the library when it is not staffed. 42 respondents answered this question and although 13 comments indicated that they had no concerns, 9 comments highlighted concerns regarding being alone in the library with a further 8 comments referencing security concerns specifically. Other themes noted within the comments include concerns regarding potential issues with other members, lack of staff availability, issues with equipment and potential damage / vandalism.

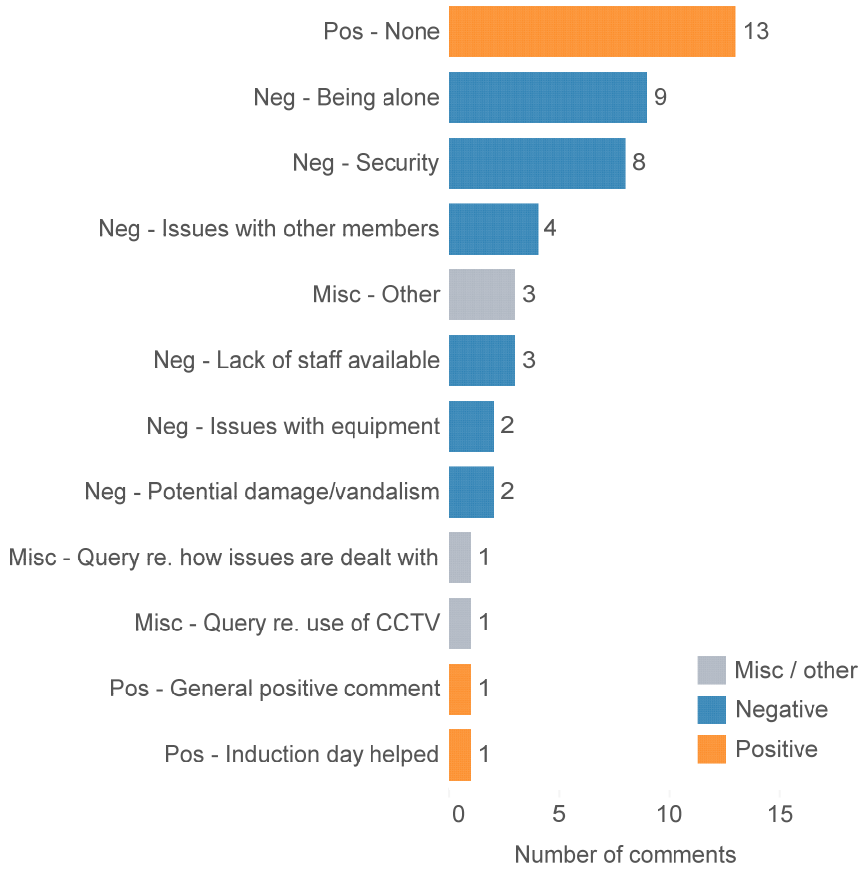
Indicative comments:

"Not sure I would feel happy if on my own"

"Security on dark nights"

"I am concerned about other users"

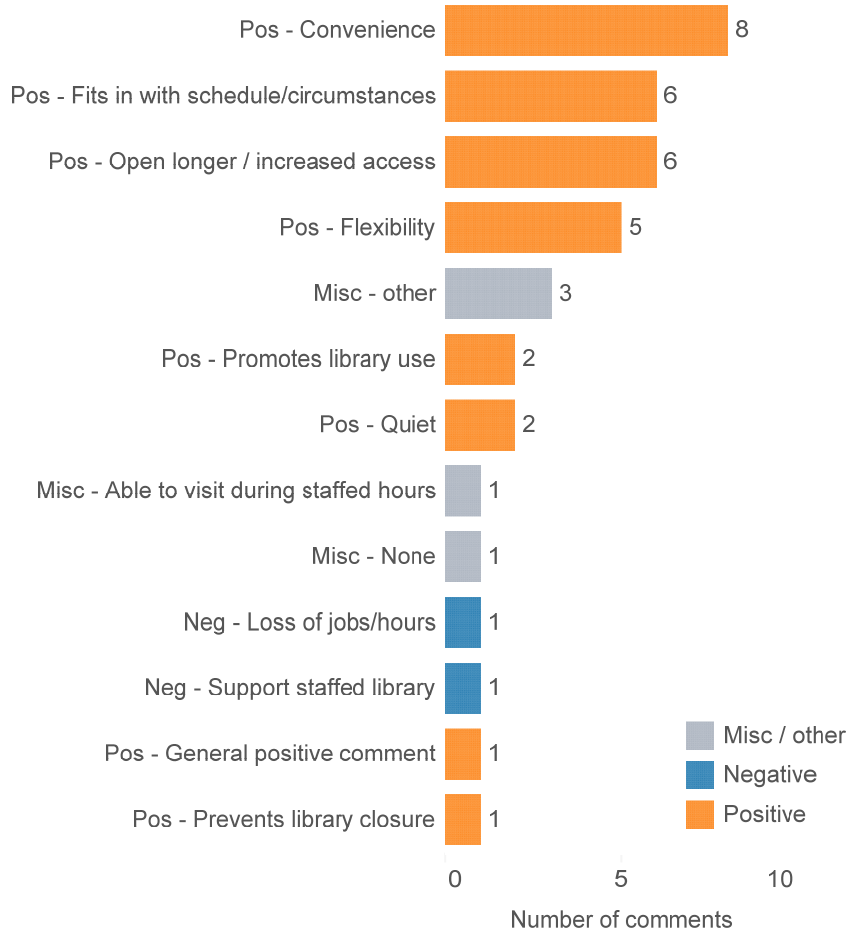
Chart 23 – Concerns (Q20) (Base=48)



Advantages of using Library Plus (Q21)

When asked what advantages, if any, they saw of using the library during Library Plus hours, many respondents referenced the fact that it fits in with personal circumstances/schedule and that it was convenient. On a related note, 6 comments highlighted increased access or opening hours as an advantage of using the library during Library Plus hours and 5 comments referenced flexibility as an advantage. A couple of comments were of a negative nature, making reference to the loss of staff and supporting a staffed library.

Chart 24 – Advantages of using Library Plus (Q21) (Base=38)



Indicative comments:

"More convenient for customers"

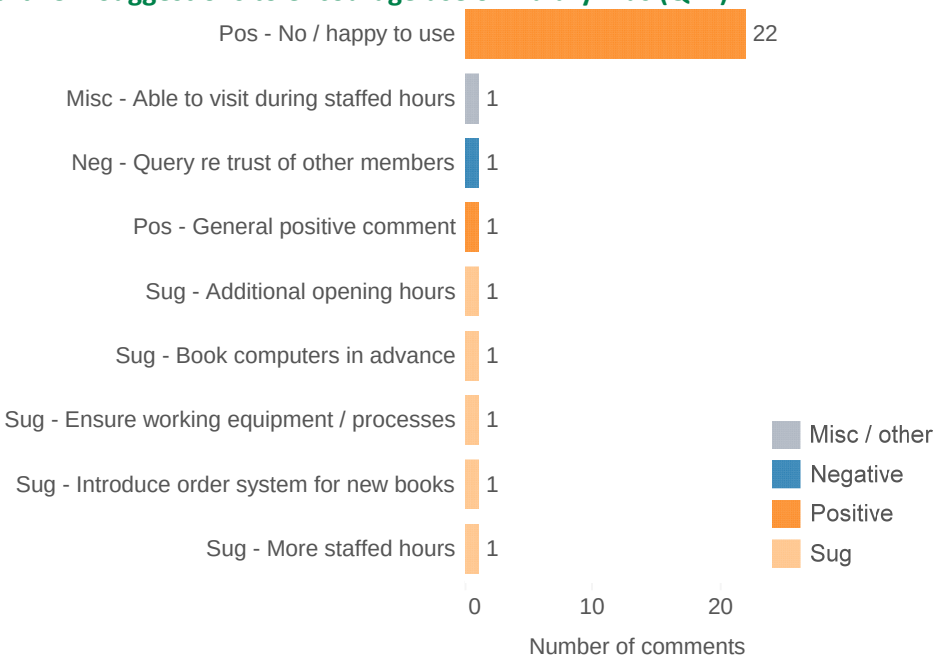
"Visiting the library can be fitted into my routine, rather than the other way round"

"More chance to pick up reserved books and to use the photocopier"

Suggestions to encourage use of Library Plus (Q22)

Q22 asked respondents if there was anything else that could be done to make it more likely for them to use the library during Library Plus hours. The majority of comments indicated either that they were happy to use the library during Library Plus hours or that there was nothing else that could be done. Other comments were varied in nature but as chart 25 shows, suggestions included additional opening hours, the ability to book computers in advance, introducing an ordering system for new books, and ensuring that equipment / processes are working efficiently.

Chart 25 – Suggestions to encourage use of Library Plus (Q22) (Base=30)

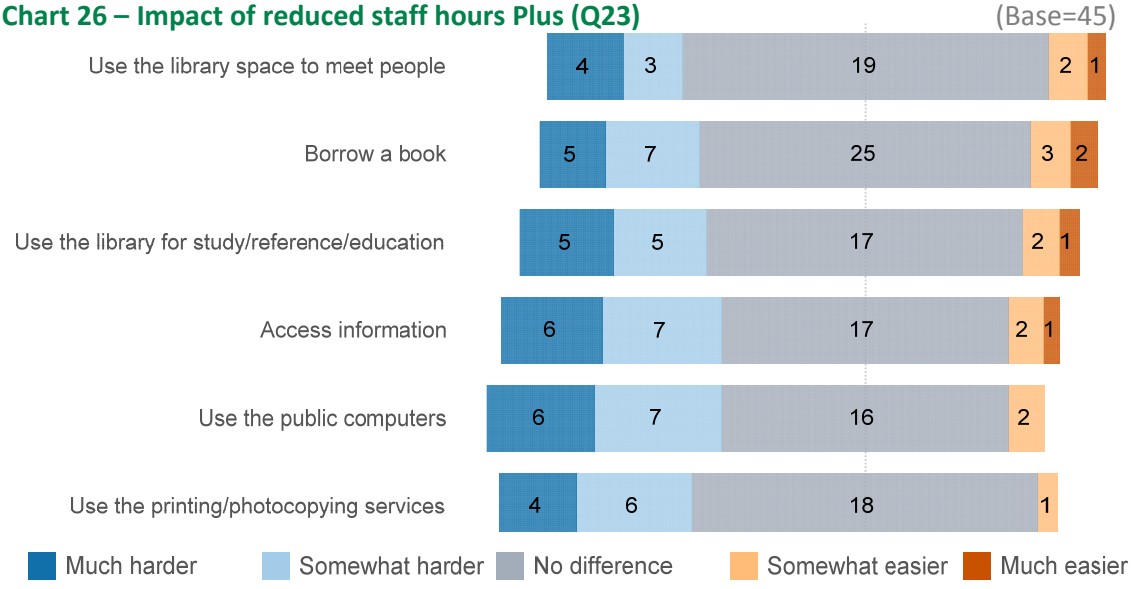


Impact of reduced staff hours (Q23-25)

The survey provided an explanation of current proposals under consideration regarding the introduction of Library Plus across the library network. This included a potential reduction in staffed opening hours.

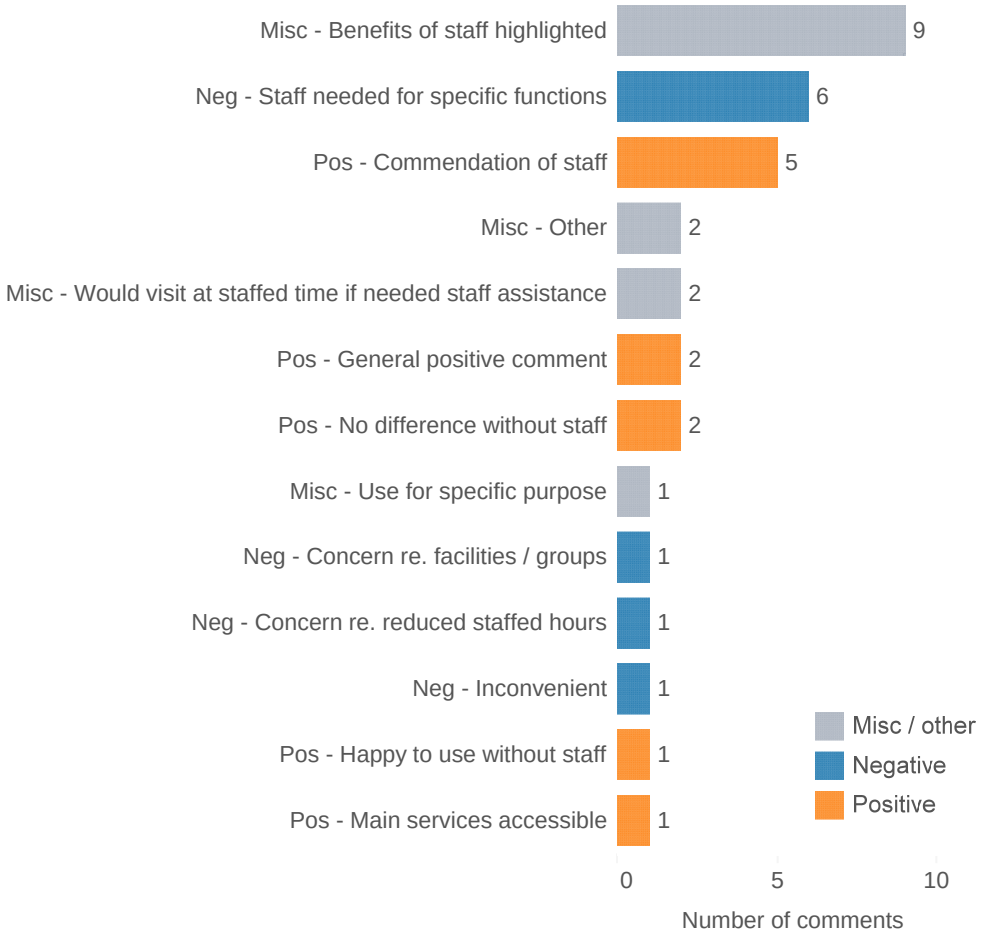
Respondents were asked if a reduction in staffed opening hours to 3 hours a day and an increase in Library Plus hours would make it easier or harder for them to use the library to carry out certain activities (Q23). Chart 26 shows that many respondents indicated that it would make no difference to them. Activities which received more responses to indicate that they would be harder were accessing information and using the public computers (13 responded either 'somewhat harder' or 'much harder' to each of these activities).

Chart 26 – Impact of reduced staff hours Plus (Q23) (Base=45)



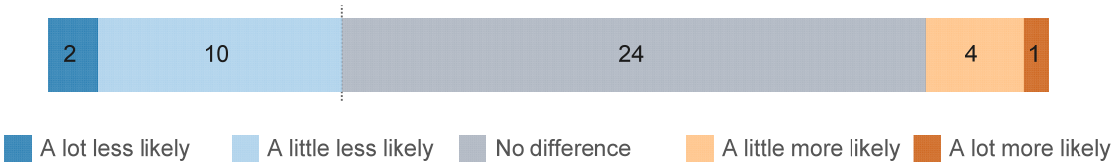
Respondents were then asked to provide comments for their answer to Q23. The most popular theme amongst responses referenced the benefits of staffed provision (9 comments), including the benefit of human input and the availability of trained/skilled staff. A need for staff to carry out specific functions was highlighted by 6 comments with a further two comments suggesting that they would visit the library during staffed hours if they needed assistance. Commendation of library staff was specifically referenced in 5 comments. Negative comments included concern regarding access for groups/facilities, general concern over reducing staffed hours, and inconvenience.

Chart 27 – Comments re. impact of reduced staff hours (Base=34)



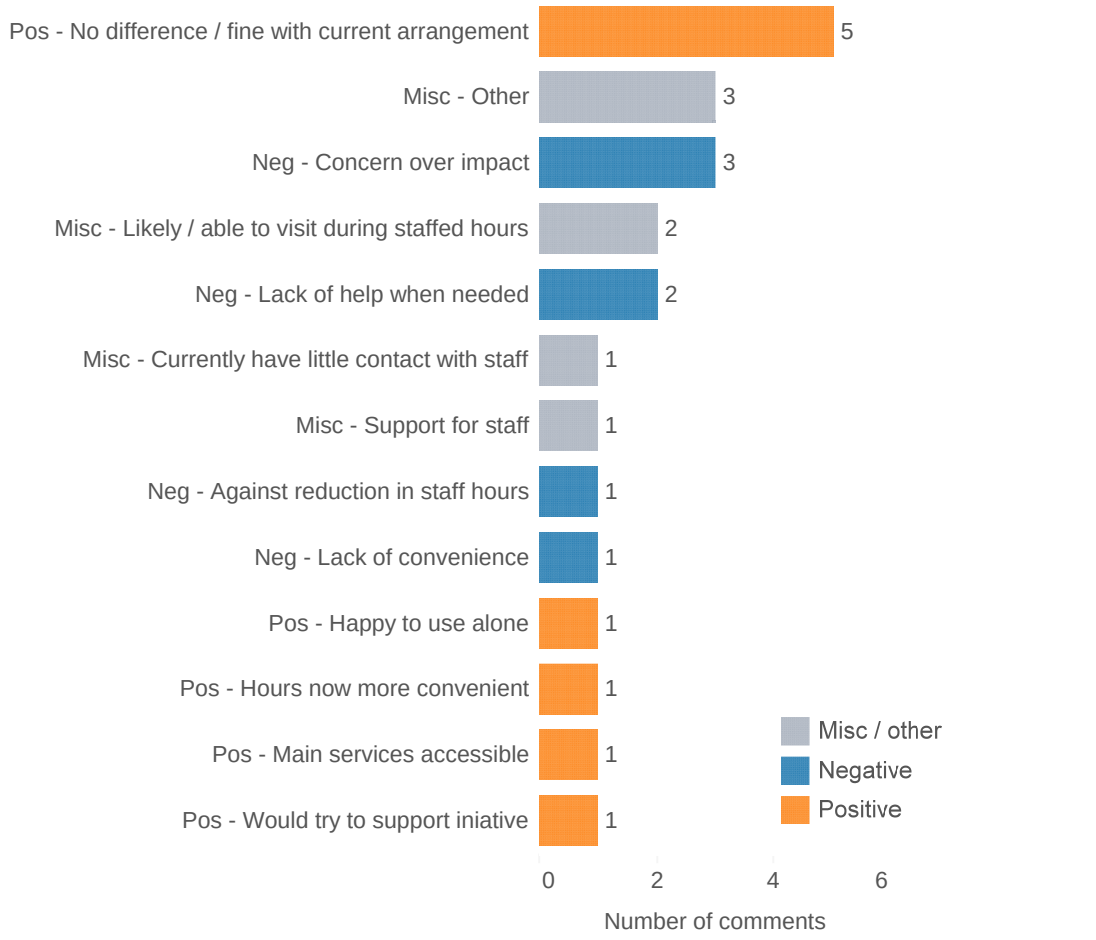
In response to Q24, over half of respondents (24) indicated that there would be no difference to their likelihood of using the library if staffed hours were reduced to 3 hours a day and Library Plus hours were increased. 12 respondents reported that they would either be 'a little less likely' or 'a lot less likely' to use the library in this scenario and 5 respondents indicated that they would be 'a little more likely' or 'a lot more likely to the library.'

Chart 28 – Impact of reduced staff hours and increased Library Plus hours (Q24) (Base=44)



The 22 comments that were provided to supplement answers to Q24 ranged in scope as illustrated in chart 29. Nine of these comments were of a positive nature in relation to Library Plus, with 5 respondents indicating that they would see no difference in their likely use, or that they were happy with the current arrangement at the library. Concerns were expressed around the impact of the proposed changes, including the potential staff workload during staffed hours and the impact on the value and atmosphere of the library. Two comments raised concerns around lack of available assistance from staff when required.

Chart 29 – Comments in response to Q24 (Base=23)



Preference for staffed and Library Plus hours (Q25)

Q25 asked respondents to indicate at what times they would like to the library to be staffed and what times in Library Plus mode or closed if staffed hours were reduced to 3 hours per day.

Respondents were asked to select up to 10 Library Plus hours and up to 3 staffed hours, however 1 respondent selected more than 10 Library Plus hours and 4 respondents selected more than 3 staffed hours. These responses have been excluded from the analysis of this question to enable comparable analysis.

The most popular times for staffed hours were between 10 am and midday. The most popular times for Library Plus hours were between 8am and 9am (22 responses) and 4pm to 5pm (22 responses). Other popular times amongst respondents included 9am to 10am, 1pm to 2pm and 5pm to 7pm. Many respondents felt that the library should be closed between 6am and 8am.

Chart 30 – Preference for staffed and Library Plus hours (Q25) (Base=33)

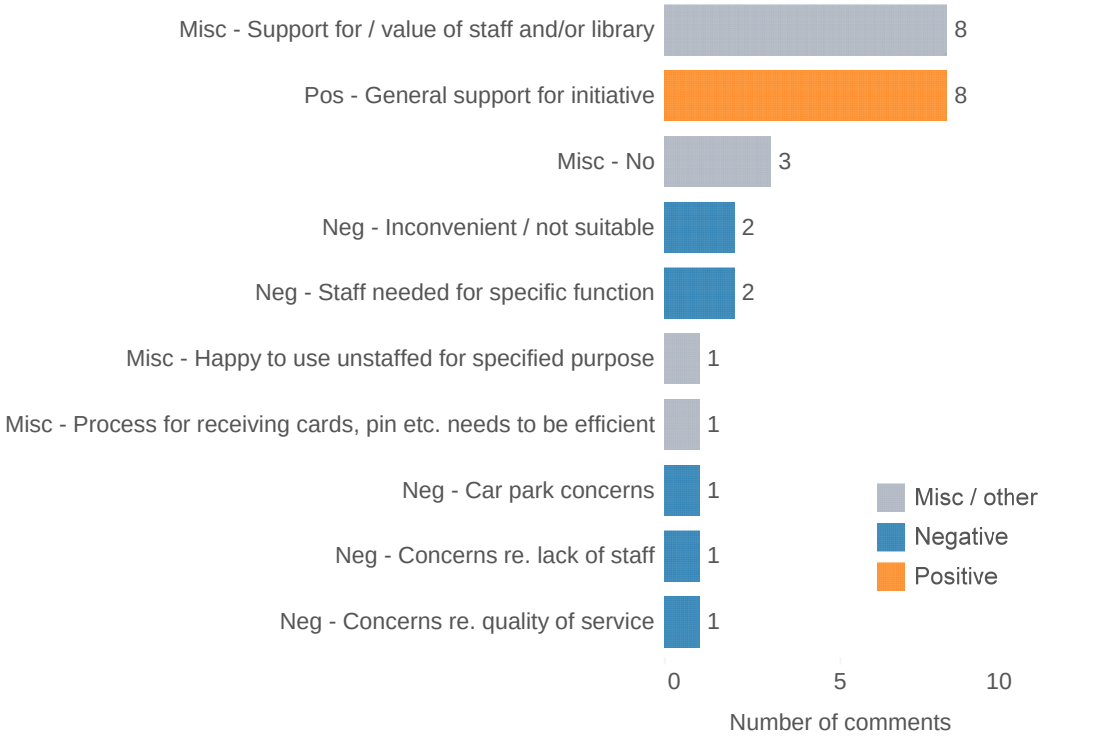
	06:00 - 07:00	07:00 - 08:00	08:00 - 09:00	09:00 - 10:00	10:00 - 11:00	11:00 - 12:00	12:00 - 13:00	13:00 - 14:00	14:00 - 15:00	15:00 - 16:00	16:00 - 17:00	17:00 - 18:00	18:00 - 19:00	19:00 - 20:00	20:00 - 22:00
Closed	20	17	3	1			1						1	7	12
Library Plus hours (tick up to 10)	2	7	22	21	15	11	13	20	17	17	22	21	21	16	5
Staffed hours (tick up to 3)				5	17	15	10	6	7	8	4	5	4	1	1

Other comments (Q26)

Finally, respondents were asked if they had any other comments. As shown in chart 31, 8 comments showed specific support for and value of the library and library staff. A further 8 comments reflected general support for the Library Plus initiative. Several concerns were raised and included the need for staff to carry out specific functions, the view that the initiative was inconvenient, a concern regarding misuse of the car park and concerns related to the lack of staff and quality of service.

Chart 31 – Other comments (Q26)

(Base=36)



Indicative comments:

"I would be very sad for such a huge reduction in staffing hours. Librarians hold a key community role, and are highly skilled in their job."

"We do not live in Syston but it is our nearest Library and we are very fortunate to have our own transport to be able to visit. Our library is really a life line especially during the winter months and we always have several books at a time both my husband and myself."

"3 hours per day is not suitable for the public or the staff."

"Thank you for thinking of innovative ways to keep the library open - would hate to lose the facility completely from Syston"

Appendix 1: Questionnaire

Leicestershire County Council

Syston library self-access (Library Plus) survey

Syston library members can now register to use new self-access technology. Library Plus allows users to take advantage of 30 additional opening hours per week.

During Library Plus self-access hours users can:

- Borrow, return and renew library books using the self-service kiosks
- Pick up and borrow reserved items awaiting collection
- Use public computers, photocopy, print and access WiFi
- Access the public library catalogue

When in Library Plus mode, there are no staff to help with the computers, answer enquiries about books/information, and young people under 16 are only able to access the library if they are accompanied by a responsible adult.

We are using Syston library to test out the technology, but also find more out about how it might change the way that you use the library service.

We are interested in your views on self-access libraries, whether or not you have used Syston library during the Library Plus hours.

We would appreciate it if you could spare 10-15 minutes to complete this survey.

Thank you for your assistance. Your views are important to us.

Please note: Your responses to the main part of the survey (Q1 to Q26, including your comments) may be released to the general public in full under the Freedom of Information Act 2000. Any responses to the questions in the 'About you' section of the questionnaire will be held securely and will not be subject to release under Freedom of Information legislation, nor passed on to any third party.

Your library use

Q1 In what role are you responding to this survey? Please tick ALL applicable

- ☐ I am a library user
- ☐ I am a local resident
- ☐ I am a member of library staff or library volunteer
- ☐ I represent a stakeholder organisation or business
- ☐ Other (please specify)

Please specify 'Other'

Q2 If you indicated that you represent a stakeholder organisation or business, please provide your details.

Name:

Organisation:

This information may be subject to disclosure under the Freedom of Information Act 2000

Q3 Over the last 12 months, how often on average have you visited...? Please tick one per row

	Several times a week	About once a week	About once a fortnight	About once a month	Every few months	About once a year	Less than once a year	Never used
Syston library	☐	☐	☐	☐	☐	☐	☐	☐
Another library	☐	☐	☐	☐	☐	☐	☐	☐

Q4 Over the last 12 months, how often on average have you done the following at Syston library...? Please tick one per row

	Several times a week	About once a week	About once a fortnight	About once a month	Every few months	About once a year	Less than once a year	Never used
Borrow a book	☐	☐	☐	☐	☐	☐	☐	☐
Hire a DVD	☐	☐	☐	☐	☐	☐	☐	☐
Use the public computers	☐	☐	☐	☐	☐	☐	☐	☐
Use the printing/photocopying services	☐	☐	☐	☐	☐	☐	☐	☐
Use the library for study/reference/education	☐	☐	☐	☐	☐	☐	☐	☐
Access information	☐	☐	☐	☐	☐	☐	☐	☐
Use the library space to meet people	☐	☐	☐	☐	☐	☐	☐	☐

Library Plus

Library Plus has added 30 additional opening hours per week. There have been no changes to the staffed hours. The opening hours for Syston Library are now as follows:

Syston library opening hours with Library Plus

	Library Plus	Staffed	Library Plus
Monday	8-10am	10am-5pm	5-7pm
Tuesday	8am-1pm	1-6pm	CLOSED
Wednesday	Library Plus 8am-7pm		
Thursday	8-10am	10am-5pm	5-7pm
Friday	8-10am	10am-5pm	5-7pm
Saturday	8-10am	10am-3pm	CLOSED
Sunday	CLOSED		

Q5 Before this survey, had you heard about Library Plus self-access hours at Syston library?

- ☐ Yes — Go to Q6
- ☐ No — Go to Q7
- ☐ Don't know — Go to Q7

Q6 If yes, have you recently joined Syston library to take advantage of Library Plus and the extended opening hours?

- ☐ Yes
- ☐ No
- ☐ Don't know

Q7 Has the introduction of Library Plus hours made it easier or harder for you to...? Please tick one per row

	Much easier	Somewhat easier	No difference	Somewhat harder	Much harder	Don't know
Borrow a book	☐	☐	☐	☐	☐	☐
Use the public computers	☐	☐	☐	☐	☐	☐
Use the printing/photocopying services	☐	☐	☐	☐	☐	☐
Use the library for study/reference/education	☐	☐	☐	☐	☐	☐
Access information	☐	☐	☐	☐	☐	☐
Use the library space to meet people	☐	☐	☐	☐	☐	☐

Why do you say this?

Q8 Have you signed up to use Library Plus?

- ☐ Yes — Go to Q9
- ☐ No — Go to Q19
- ☐ Don't know — Go to Q19

Q9 If yes, have you been on the induction yet?

- ☐ Yes — Go to Q10
- ☐ No — Go to Q11

Q10 How would you rate the induction process?

Very good	Good	OK	Poor	Very poor	Don't know
☐	☐	☐	☐	☐	☐

Why do you say this?

Q11 Why did you decide to sign up for Library Plus? Please tick ALL applicable

- ☐ To try something new
- ☐ To be able to visit the library more often
- ☐ Because using the library during the current staffed opening hours is difficult for me
- ☐ The Library Plus hours suit me more than current staffed opening hours
- ☐ Because I think the library will be quieter during the Library Plus hours
- ☐ To be able to take my children to the library before school/work
- ☐ To be able to take my children to the library after work/school
- ☐ Other (please specify)

Please specify 'Other'

Q12 How many times have you used the library during Library Plus hours?

- ☐ I haven't yet Go to Q18
- ☐ 1
- ☐ 2
- ☐ 3
- ☐ 4
- ☐ 5
- ☐ More than 5
- ☐ Don't know

Q13 What has been your overall experience of using the library during Library Plus hours?

Very good	Good	OK	Poor	Very poor	Don't know
☐	☐	☐	☐	☐	☐

Why do you say this?

Q14 What do you like most about the experience?

Q15 What issues, if any, did you encounter?

Q16 How, if at all, has your use of the library changed since the introduction of the Library Plus hours?

	Increased a lot	Increased a little	No change	Decreased a little	Decreased a lot	Don't know
Overall number of visits to the library	☐	☐	☐	☐	☐	☐
Number of books borrowed	☐	☐	☐	☐	☐	☐
Use of the public computers	☐	☐	☐	☐	☐	☐
Use of the printing/photocopying services	☐	☐	☐	☐	☐	☐
Use of the library for study/reference/education	☐	☐	☐	☐	☐	☐
Accessing information	☐	☐	☐	☐	☐	☐
Using the library space to meet people	☐	☐	☐	☐	☐	☐

Q17 What else, if anything, has changed about the way you use the library since the introduction of the Library Plus hours?

Now go to Q19

Q18 If you haven't used the library during Library Plus hours, why is this?

- ☐ I haven't been on the induction yet
- ☐ I haven't had the time
- ☐ I haven't had the need
- ☐ The Library Plus opening times don't suit me
- ☐ I haven't felt confident enough
- ☐ I tried but couldn't get into the building
- ☐ Don't know
- ☐ Other (please specify)

Please specify 'Other'

Q19 How likely are you to use the library during Library Plus hours in the future?

Very likely	Somewhat likely	Neither likely nor unlikely	Somewhat unlikely	Very unlikely	Don't know
☐	☐	☐	☐	☐	☐

Why do you say this?

Q20 What, if any, concerns do you have about using the library when it is not staffed?

Q21 What, if any, advantages do you see of using the library during Library Plus hours?

Q22 Is there anything that could be done to make it more likely for you to use the library during Library Plus hours?

Planned budget reductions mean that the council will need to think about how they provide library services in the future and help people access them in different ways. Introducing self-access libraries is one option for doing this. If a decision is made not to go ahead with self-access the council will need to look at other ways to achieve the savings target.

Although staffed opening hours will remain the same at Syston whilst the technology is being tested, if the technology was to be introduced across the library network, staffed opening hours would be reduced. This would save money whilst at the same time increasing opening hours.

There will still be staffed opening hours. For instance, a library of a similar size to Syston could be open Monday to Saturday from 8am to 8pm with, for example, three hours of staffed time on most of those days.

Q23 Would a reduction of staffed hours to 3 hours a day and an increase in Library Plus hours make it easier or harder for you to be able to...? Please tick one per row

	Much easier	Somewhat easier	No difference	Somewhat harder	Much harder	Don't know
Borrow a book	☐	☐	☐	☐	☐	☐
Use the public computers	☐	☐	☐	☐	☐	☐
Use the printing/photocopying services	☐	☐	☐	☐	☐	☐
Use the library for study/reference/education	☐	☐	☐	☐	☐	☐
Access information	☐	☐	☐	☐	☐	☐
Use the library space to meet people	☐	☐	☐	☐	☐	☐

Why do you say this?

Q24 If we reduced staffed hours to 3 hours a day and increased Library Plus hours, what impact, if any, would this have on the likelihood of you using the library?

A lot more likely	A little more likely	No difference	A little less likely	A lot less likely	Don't know
☐	☐	☐	☐	☐	☐

Why do you say this?

Q25 If staffed hours were reduced to 3 hours per day, at what times would you like the library to be staffed and what times in Library Plus mode or closed?

Please complete each row but select no more than 3 staffed hours and 10 Library Plus hours in total.

	Staffed hours (tick up to 3)	Library Plus hours (tick up to 10)	Closed
06:00 - 07:00	☐	☐	☐
07:00 - 08:00	☐	☐	☐
08:00 - 09:00	☐	☐	☐
09:00 - 10:00	☐	☐	☐
10:00 - 11:00	☐	☐	☐
11:00 - 12:00	☐	☐	☐
12:00 - 13:00	☐	☐	☐
13:00 - 14:00	☐	☐	☐
14:00 - 15:00	☐	☐	☐
15:00 - 16:00	☐	☐	☐
16:00 - 17:00	☐	☐	☐
17:00 - 18:00	☐	☐	☐
18:00 - 19:00	☐	☐	☐
19:00 - 20:00	☐	☐	☐
20:00 - 22:00	☐	☐	☐

Any other comments

Q26 Do you have any other comments?

About you

Leicestershire County Council is committed to ensuring that its services, policies and practices are free from discrimination and prejudice and that they meet the needs of all sections of the community.

We would therefore be grateful if you would answer the questions below. You are under no obligation to provide the information requested, but it would help us greatly if you did.

Q27 What is your gender identity?

- ☐ Male
- ☐ Female
- ☐ Other (e.g. pangender, non-binary etc.)

Q28 Is your gender identity the same as the gender you were assigned at birth?

- ☐ Yes
- ☐ No

Q29 What was your age on your last birthday? (Please enter your age in numbers not words)

Q30 What is your full postcode?
This will allow us to see how far people live from Syston library. It will not identify your house.

Q31 Are you a parent or carer of a young person aged 17 or under?

- ☐ Yes
- ☐ No

Q32 If yes, what are the ages of the children in your care? Please tick all applicable

- ☐ 0-4
- ☐ 5-10
- ☐ 11-15
- ☐ 16-17

Q33 Are you a carer of a person aged 18 or over?

- ☐ Yes
- ☐ No

Q34 Do you have a long-standing illness, disability or infirmity?

- [ ] Yes
- [ ] No

Q35 What is your ethnic group? Please tick one box only.

- [ ] White
- [ ] Mixed
- [ ] Asian or Asian British
- [ ] Black or Black British
- [ ] Other ethnic group

Q36 What is your religion?

- [ ] No religion
- [ ] Christian (all denominations)
- [ ] Buddhist
- [ ] Hindu
- [ ] Jewish
- [ ] Muslim
- [ ] Sikh
- [ ] Any other religion

Q37 In total, how many cars or vans are owned or available for use by members of your household?

- [ ] None
- [ ] One
- [ ] Two
- [ ] Three
- [ ] Four or more
- [ ] Don't know

Q38 What is your highest level of qualification you have obtained?

- [ ] No qualifications
- [ ] GCSEs/O-levels or equivalent
- [ ] A-levels or equivalent
- [ ] Diploma in higher education
- [ ] Lower degree or PGCE (e.g. BA or BSc etc)
- [ ] Higher degree (e.g. MSc, Phd etc)
- [ ] Professional, vocational or work-related qualifications
- [ ] Other

Q39 Which of these activities best describes what you are doing at present?

- [ ] Employee in full-time job (30 hours plus per week)
- [ ] Employee in part-time job (less than 30 hours per week)
- [ ] Self employed full or part-time
- [ ] On a government supported training programme - e.g. Modern Apprenticeship / Training for Work
- [ ] Full-time education at school, college or university.
- [ ] Unemployed and available for work
- [ ] Permanently sick / disabled
- [ ] Wholly retired from work
- [ ] Looking after the home
- [ ] Doing something else

Q40 Are you an employee of Leicestershire County Council?

- ☐ Yes
- ☐ No

Q41 Many people face discrimination because of their sexual orientation and for this reason we have decided to ask this monitoring question. You do not have to answer it, but we would be grateful if you could tick the box next to the category which describes your sexual orientation.

- ☐ Bi-sexual
- ☐ Gay
- ☐ Heterosexual / straight
- ☐ Lesbian
- ☐ Other

Thank you for your assistance. Your views are important to us.

When this evaluation closes on 3rd June, we will report the results back to the Council's Cabinet in summer 2017.

Please return your completed survey to:

Syston Library Plus Survey, Leicestershire County Council, Have Your Say, FREEPOST NAT18685, Leicester, LE3 8XR.

No stamp required.

Data Protection: Personal data supplied on this form will be held on computer and will be used in accordance with the Data Protection Act 1998. The information you provide will be used for statistical analysis, management, planning and the provision of services by the county council and its partners. Leicestershire County Council will not share any information collected from the 'About you' section of this survey with its partners. The information will be held in accordance with the council's records management and retention policy. Information which is not in the 'About you' section of the questionnaire may be subject to disclosure under the Freedom of Information Act 2000.

Appendix 2: Demographic profile of respondents

Wording	Response	Number of respondents	% of respondents
Are you male or female?	Female	30	65%
	Male	16	35%
Is your gender identity the same as the gender you were assigned at birth?	Yes	45	100%
What was your age on your last birthday?	15-24	3	7%
	25-44	7	16%
	45-64	11	25%
	65-84	22	50%
	87	1	2%
Are you a parent or carer of a young person aged 17 or under?	No	36	80%
	Yes	9	20%
If yes, what are the ages of the children in your care?	0-4	3	33%
	5-10	7	78%
	11-15	4	44%
	16-17	1	11%
Are you a carer of a person aged 18 or over?	No	40	91%
	Yes	4	9%

Wording	Response	Number of respondents	% of respondents
Do you have a long-standing illness, disability or infirmity?	No	37	84%
	Yes	7	16%
What is your ethnic group?	White	43	100%
What is your religion?	Christian (all denominations)	24	56%
	No religion	19	44%
In total, how many cars or vans are owned or available for use by members of your household?	None	4	10%
	One	19	45%
	Three	2	5%
	Two	17	40%
What is the highest level of qualification you have obtained?	A-levels or equivalent	3	7%
	Diploma in higher education	3	7%
	GCSEs/O-levels or equivalent	8	17%
	Higher degree (e.g. MSc, Phd etc)	12	26%
	Lower degree or PGCE (e.g. BA or BSc etc)	9	20%
	Other	1	2%
	Professional, vocational or work-related qualifications	10	22%

Wording	Response	Number of respondents	% of respondents
Which of these activities best describes what you are doing at present?	Doing something else	1	2%
	Employee in full-time job (30 hours plus per week)	8	18%
	Employee in part-time job (less than 30 hours per week)	5	11%
	Full-time education at school, college or university.	1	2%
	Permanently sick / disabled	1	2%
	Self employed full or part-time	3	7%
	Unemployed and available for work	1	2%
	Wholly retired from work	24	55%
Are you an employee of Leicestershire County Council?	No	43	93%
	Yes	3	7%
Sexual orientation	Heterosexual / straight	35	100%

Location of respondents

Leicestershire County Council

If you require information contained in this leaflet in another version e.g. large print, Braille, tape or alternative language please telephone: 0116 305 6803, Fax: 0116 305 7271 or Minicom: 0116 305 6160.

જો આપ આ માહિતી આપની ભાષામાં સમજવામાં થોડી મદદ ઇચ્છતાં હો તો 0116 305 6803 નંબર પર ફોન કરશો અને અમે આપને મદદ કરવા વ્યવસ્થા કરીશું.

ਜੇਕਰ ਤੁਹਾਨੂੰ ਇਸ ਜਾਣਕਾਰੀ ਨੂੰ ਸਮਝਣ ਵਿਚ ਕੁਝ ਮਦਦ ਚਾਹੀਦੀ ਹੈ ਤਾਂ ਕਿਰਪਾ ਕਰਕੇ 0116 305 6803 ਨੰਬਰ ਤੇ ਫ਼ੋਨ ਕਰੋ ਅਤੇ ਅਸੀਂ ਤੁਹਾਡੀ ਮਦਦ ਲਈ ਕਿਸੇ ਦਾ ਪ੍ਰਬੰਧ ਕਰ ਦਵਾਂਗੇ।

এই তথ্য নিজের ভাষায় বুঝার জন্য আপনার যদি কোন সাহায্যের প্রয়োজন হয়, তবে 0116 305 6803 এই নম্বরে ফোন করলে আমরা উপযুক্ত ব্যক্তির ব্যবস্থা করবো।

اگر آپ کو یہ معلومات سمجھنے میں کچھ مدد درکار ہے تو براہ مہربانی اس نمبر پر کال کریں 0116 305 6803 اور ہم آپ کی مدد کے لئے کسی کا انتظام کر دیں گے۔

假如閣下需要幫助，用你的語言去明白這些資訊，請致電 0116 305 6803，我們會安排有關人員為你提供幫助。

Jeżeli potrzebujesz pomocy w zrozumieniu tej informacji w Twoim języku, zadzwoń pod numer 0116 305 6803, a my Ci dopomożemy.

Strategic Business Intelligence Team
Strategy and Business Intelligence Branch

Chief Executive's Department
Leicestershire County Council
County Hall
Glenfield
Leicester
LE3 8RA
ri@leics.gov.uk
www.lsr-online.org

Leicestershire County Council

APPENDIX D

Equality & Human Rights Impact Assessment (EHRIA)

This Equality and Human Rights Impact Assessment (EHRIA) will enable you to assess the **new, proposed or significantly changed** policy/ practice/ procedure/ function/ service** for equality and human rights implications.

Undertaking this assessment will help you to identify whether or not this policy/ practice/ procedure/ function/ service** may have an adverse impact on a particular community or group of people. It will ultimately ensure that as an Authority we do not discriminate and we are able to promote equality, diversity and human rights.

Before completing this form please refer to the EHRIA guidance, for further information about undertaking and completing the assessment. For further advice and guidance, please contact your Departmental Equalities Group or equality@leics.gov.uk

***Please note: The term 'policy' will be used throughout this assessment as shorthand for policy, practice, procedure, function or service.*

Key Details	
Name of policy being assessed:	Implementation of Smart Library technology
Department and section:	Adults & Communities, Communities & Wellbeing Service.
Name of lead officer/ job title and others completing this assessment:	Linsey Vincent Project Manager Transformation Unit Liz Evans Locality Manager Communities and Wellbeing
Contact telephone numbers:	0116 305 6155
Name of officer/s responsible for implementing this policy:	Nigel Thomas Head of Service Communities & Wellbeing
Date EHRIA assessment started:	20th December 2016
Date EHRIA assessment completed:	

Section 1: Defining the policy

Section 1: Defining the policy
You should begin this assessment by defining and outlining the scope of this policy. You should consider the impact or likely impact of the policy in relation to all areas of equality, diversity and human rights, as outlined in Leicestershire County Council's Equality Strategy.

1	What is new or changed in this policy? *What has changed and why?* Smart library technology allows a library to open and function in self-service mode by: 1. Enabling customers to "swipe" their library card to obtain entry to and exit from the library when staff are not present. 2. Provision of self-service issue and discharge kiosks which enable customers to borrow, return and renew items (including the payment of charges). This enables reductions in staffing requirement and the delivery of associated savings whilst also offering the potential to increase opening hours. Self-service issue and discharge kiosks have been in place in the council's 16 market town and shopping centre libraries since 2009/10 and the current contract for their provision expires at the end of February 2018. However, due to "wear and tear" and future support and maintenance costs these kiosks now require replacement.
2	Does this relate to any other policy within your department, the Council or with other partner organisations? *If yes, please reference the relevant policy or EHRIA. If unknown, further investigation may be required.* The implementation of smart library technology contributes to MTFS line AC21 – Implementation of the Revised C&W Service. Smart libraries are one of the transformation projects to be delivered as part of the delivery of AC21. The delivery of AC21 is informed by the Communities & Wellbeing Strategy ("Providing Less: Supporting More – Our Vision and Strategy for Communities & Wellbeing 2016-20) which was approved by Cabinet in July 2016. The strategy identifies that exploring "the use of technology to increase self-service at some venues" is one of the ways in which people can be supported to access services.
3	Who are the people/ groups (target groups) affected and what is the intended change or outcome for them? Potentially, all current and future users of the Council's market town and shopping centre libraries will be affected. The likely changes or outcomes for users are: 1. Improved performance, reliability and user friendliness of self service kiosks. 2. Increased accessibility of the library due to increased opening hours. 3. Increased opportunities for libraries to be used as a meeting space for community groups due to increased opening hours. 4. Availability of contactless card payment facilities at self service kiosks. 5. Requirement to register and receive an induction in order to access the library when it is operating in self-access mode. 6. Access to support from library staff during staffed hours only.

	However, in order to test both the technology and the potential outcomes for users and staff, an early implementation of smart library technology at Syston Library was proposed by the C&W Strategy Board in May 2016. This was subsequently agreed by Cabinet in November 2016. The early implementation Started on 14th March 2017. It is anticipated that the key target groups who may be most affected by the strategy are: • Older people: who may be reluctant to use the self-access technology • Children under 16: who due to safeguarding issues would not be able to register for use of self service, and would not be able to gain access to the library in self-access mode unless accompanied by a responsible adult. • People with disabilities

4 Will this policy meet the Equality Act 2010 requirements to have due regard to the need to meet any of the following aspects? **(Please tick and explain how)**

	Yes	No	How?
Eliminate unlawful discrimination, harassment and victimisation		X	
Advance equality of opportunity between different groups	X		The Council's market town and shopping centre libraries are available to all Leicestershire residents. The implementation of smart library technology will enable the continued provision of targeted support and/or services for specific groups. Without this groups may not otherwise be able to access these services.
Foster good relations between different groups	X		The Council's market town and shopping centre libraries are available to all Leicestershire residents thereby attracting people from different communities and groups.

Section 2: Equality and Human Rights Impact Assessment (EHRIA) Screening

Section 2: Equality and Human Rights Impact Assessment Screening
The purpose of this section of the assessment is to help you decide if a full EHRIA is required.

If you have already identified that a full EHRIA is needed for this policy/ practice/ procedure/ function/ service, either via service planning processes or other means, then please go straight to Section 3 on Page 7 of this document.

Section 2

<table>
<tr><th colspan="4">A: Research and Consultation</th></tr>
<tr><td rowspan="4">5.</td><td rowspan="4">Have the target groups been consulted about the following?

a) their current needs and aspirations and what is important to them;

b) any potential impact of this change on them (positive and negative, intended and unintended);

c) potential barriers they may face</td><td>Yes</td><td>No*</td></tr>
<tr><td></td><td>X</td></tr>
<tr><td></td><td>X</td></tr>
<tr><td></td><td>X</td></tr>
<tr><td>6.</td><td>If the target groups have not been consulted directly, have representatives been consulted or research explored (e.g. Equality Mapping)?</td><td>X</td><td></td></tr>
<tr><td>7.</td><td>Have other stakeholder groups/ secondary groups (e.g. carers of service users) been explored in terms of potential unintended impacts?</td><td></td><td>X</td></tr>
<tr><td>8.</td><td colspan="3">*If you answered 'no' to the question above, please use the space below to outline what consultation you are planning to undertake, or why you do not consider it to be necessary.</td></tr>
<tr><td></td><td colspan="3">Although no specific consultation activity has been undertaken in relation to the implementation of smart library technology, a formal 12 week consultation on the draft Communities and Wellbeing Strategy was held between 8th February and 2nd May 2016. This consultation included a survey questionnaire, stakeholder events and a public event. In addition a designated telephone helpline and email address to enable people to receive further information about the consultation, support to complete the survey questionnaire or register any comments.

The consultation identified that:
• People place a high value on services. Libraries were valued (a great deal or to some extent) by 96% of respondents.
• 44.3% of respondents agreed with the option to introduce self-access technology to allow access to library venues. This is compared with low levels of support (less than 25%) for reducing the number of council libraries and/or opening hours. This option may need to be considered should a decision be made not to implement smart library technology or if it does not deliver the required level of savings.
• Supporting children’s learning and vulnerable people were identified as key areas of activity.
• Respondents identified that the introduction of self-access technology may present barriers for some groups such as older people or those with disabilities.

In addition, council officers have been working with colleagues from Peterborough City Council and Stockport Council to share experiences and lessons learned regarding the implementation of smart library technology.

During the early implementation of smart library technology at Syston library</td></tr>
</table>

	feedback will be sought from those registering as “smart library users”. This will provide information about users’ experiences and help to identify any potential barriers to using the library. This feedback received will be used to inform the report to Cabinet in Autumn 2017 regarding the Syston early implementation and recommendations regarding the wider implementation of smart library technology.

Section 2 **B: Monitoring Impact**			
9.	Are there systems set up to: a) monitor impact (positive and negative, intended and unintended) for different groups; b) enable open feedback and suggestions from different communities	**Yes** **X** **X**	**No**
Note: If no to Question 8, you will need to ensure that monitoring systems are established to check for impact on the protected characteristics.			

Section 2 **C: Potential Impact**				
10.	Use the table below to specify if any individuals or community groups who identify with any of the ‘protected characteristics’ may potentially be affected by this policy and describe any positive and negative impacts, including any barriers.			
		Yes	**No**	**Comments**
	Age	**X**		Analysis of library user data indicates that 36% of all users of market town and shopping centre libraries are aged 0-17. In comparison 20% of all library users are aged 60 plus. The Smart Libraries Project Board has agreed that in order to mitigate risks relating to health and safety and the safeguarding of children and young people, it will not be possible for under 16s to register as “smart library users” However, they would be able to visit the library with a registered user aged over 16 during these times. In addition, increased library opening hours as a result of self-access would provide

				additional opportunities for young people to visit the library (e.g. with a parent/carer before school). Therefore, consideration would need to be given to the timings of staffed opening hours to consider the possible correspondence with those times children and young people use the library the most. Analysis of library user data indicates that this would be 3-5pm. Similarly, analysis indicates that older people, who may require additional support to use self-access technology, are more likely to use the library between 10am – 12 noon. Again, the library service would need to take this into account when making decisions on staffed opening hours. In addition, attention should also be paid to formatting of information and other materials regarding smart library technology in order to effectively engage with users of different age groups.
	Disability	**X**		Analysis of library user data indicates that 3% of all users of market town and shopping centre libraries identify being disabled. Therefore, in order to provide the necessary support to disabled users, the service would need to take this into account when deciding on staffed opening hours. Analysis of library user data indicates that this would be 10am -12 noon or 3-5pm. However, extending (unstaffed) opening hours has the potential

				to increase accessibility for some disabled users by enabling them to use the library at times that meet their needs. For example, those with learning disabilities or autistic spectrum disorders may prefer to use the library at the beginning or end of the day when it is less busy. In addition, attention should also be paid to formatting of information and other materials regarding smart library technology in order to effectively engage with users with different types of disability. Attention should also be paid to the health and safety risks associated with people with disabilities accessing the libraries if there are no members of staff present in the event of an emergency.
	Gender Reassignment	**X**		Analysis of current library user data suggests that there are 4 users who identify as transgender. Extending opening hours could increase or decrease accessibility for transgender users by impacting on feelings of vulnerability and preferences about when to use the library.
	Marriage and Civil Partnership		**X**	No disadvantage identified.
	Pregnancy and Maternity	**X**		Libraries provide a useful information point for women in pregnancy and during maternity. Although this type of information may be provided elsewhere e.g. GP surgeries, pregnancy/maternity services. Therefore, extending opening hours could increase or decrease accessibility depending upon preferences about when to use the library.

	Race	**X**		Analysis of current library user data indicates that approximately 10% of users are non-white. However, this varies between the different library locations. The C&W Service is committed to providing culturally and racially appropriate services across its libraries (and all other services). Therefore, attention should also be paid to formatting of information and other materials regarding smart library technology in order to effectively engage with users from different races.
	Religion or Belief	**X**		Analysis of current library user data indicates that approximately 70% of users identify as having a religion. Of these the most commonly recorded religions is Christian. The C&W Service is committed to providing services across its entirety appropriate to those of all religions and beliefs. Therefore, extending opening hours could increase accessibility for those of particular religions allowing them to visit outside the times of religious observance. Similarly when undertaking user engagement activities (e.g. induction open evenings) attention needs to be paid to days/times of religious observance in order to engage with users of different religions.
	Sex		**X**	Analysis of library user data shows that approximately 60% of all library users are female and 40% are male.

				Therefore, any potential impacts of smart technology may be disproportionately greater on female rather than male library users. Although this will have to be further investigated following early implementation at Syston as the increased opening hours may attract a different audience
	Sexual Orientation		**X**	Analysis of library user data shows that approximately 3% of library users identify as being gay, lesbian or bisexual. The C&W Service is committed to providing services across its entirety appropriate to those of all sexual orientations. Therefore, any potential impacts of smart technology on this group of users will need to be further investigated following early implementation at Syston.
	Other groups e.g. rural isolation, deprivation, health inequality, carers, asylum seeker and refugee communities, looked after children, deprived or disadvantaged communities	**X**		Smart library technology could potentially impact on a number of other groups, but it could have a positive or negative impact depending on how and when those groups choose to access a library. Potentially these could include those at risk of rural isolation, deprived or disadvantaged communities, those with particular health conditions and carers.
	Community Cohesion	**X**		Libraries provide an opportunity for individuals, groups and communities to come together to share experiences and learn from each other. These types of cultural activities enable people to find out about themselves and where they have come from as well as leading to greater understanding of other groups and communities. Thereby enhancing people's quality of life by developing their sense of belonging and by bringing communities together and

				making them stronger. Self-access technology may provide additional opportunities for community groups to use the library, but it will also restrict the social interaction with staff.

11.

Are the human rights of individuals potentially affected by this proposal? Could there be an impact on human rights for any of the protected characteristics? **(Please tick)**

Explain why you consider that any particular article in the Human Rights Act may apply to your policy/ practice/ function or procedure and how the human rights of individuals are likely to be affected below: [NB. Include positive and negative impacts as well as barriers in benefiting from the above proposal]

	Yes	No	Comments
Part 1: The Convention- Rights and Freedoms			
Article 2: Right to life		**X**	
Article 3: Right not to be tortured or treated in an inhuman or degrading way		**X**	
Article 4: Right not to be subjected to slavery/ forced labour		**X**	
Article 5: Right to liberty and security		**X**	
Article 6: Right to a fair trial		**X**	
Article 7: No punishment without law		**X**	
Article 8: Right to respect for private and family life	**X**		Libraries are an important source of information, knowledge and opportunities to assist some people (e.g. in low income households) to enjoy a similar quality of home life to more wealthy neighbours.
Article 9: Right to freedom of thought, conscience and religion	**X**		Libraries are an important source of impartial information which may be difficult to obtain elsewhere, e.g. concerning legal rights for minority cultures and religions.
Article 10: Right to freedom of expression		**X**	
Article 11: Right to freedom of assembly and association		**X**	
Article 12: Right to marry		**X**	

	Article 14: Right not to be discriminated against		**X**	
	Part 2: The First Protocol			
	Article 1: Protection of property/ peaceful enjoyment		**X**	
	Article 2: Right to education	**X**		Libraries provide access to a range of educational resources which may be difficult to obtain elsewhere.
	Article 3: Right to free elections		**X**	

Section 2
D: Decision

12.	Is there evidence or any other reason to suggest that:	**Yes**	**No**	**Unknown**
	a) this policy could have a different affect or adverse impact on any section of the community;	**X**		
	b) any section of the community may face barriers in benefiting from the proposal	**X**		

13.	Based on the answers to the questions above, what is the likely impact of this policy			
	No Impact ☐	Positive Impact ☐	Neutral Impact ☐	Negative Impact or Impact Unknown **X**

Note: If the decision is 'Negative Impact' or 'Impact Not Known' an EHRIA Report is required.

14.	Is an EHRIA report required?	Yes **X**	No ☐

Section 2: Completion of EHRIA Screening

Upon completion of the screening section of this assessment, you should have identified whether an EHRIA Report is requried for further investigation of the impacts of this policy.

Option 1: If you identified that an EHRIA Report is required, continue to Section 3 on Page 7 of this document to complete.

Option 2: If there are no equality, diversity or human rights impacts identified and an

EHRIA report is not required, continue to Section 4 on Page 14 of this document to complete.

Section 3: Equality and Human Rights Impact Assessment (EHRIA) Report

Section 3: Equality and Human Rights Impact Assessment Report

This part of the assessment will help you to think thoroughly about the impact of this policy and to critically examine whether it is likely to have a positive or negative impact on different groups within our diverse community. It is also to identify any barriers that may detrimentally affect under-represented communities or groups, who may be disadvantaged by the way in which we carry out our business.

Using the information gathered either within the EHRIA Screening or independently of this process, this EHRIA Report should be used to consider the impact or likely impact of the policy in relation to all areas of equality, diversity and human rights as outlined in Leicestershire County Council's Equality Strategy.

Section 3 **A: Research and Consultation**	
When considering the target groups it is important to think about whether new data needs to be collected or whether there is any existing research that can be utilised.	
15.	Based on the gaps identified either in the EHRIA Screening or independently of this process, how have you now explored the following and what does this information/data tell you about each of the diverse groups? a) current needs and aspirations and what is important to individuals and community groups (including human rights); b) likely impacts (positive and negative, intended and unintended) to individuals and community groups (including human rights); c) likely barriers that individuals and community groups may face (including human rights)

Analysis of the user profile of those library customers who registered for library plus is shown in the table below and compared to the existing profile of Syston library:

	% of Syston library members	% of Syston Library Plus members
Under 12	31.2%	0%
Under 15	3.7%	0%
Under 18	1.5%	4%
18-60	37.8%	38%
60+	19.2%	44%
Disabled	2.6%	3%
Housebound	0.9%	0%
Staff	0.6%	10%
Unwaged / student	0%	0.60%
Children in care	0.1%	0%
Online	1.6%	0%
CYPS groups	0.5%	0%
Adult groups	0.1%	0%

Following the Syston library pilot, a survey was commissioned to gather views on self-access libraries, whether or not members have used Syston library during the Library Plus hours. The survey was made available on the council website from 8th May 2017 and closed on 23rd June 2017. A printed (offline) version was also made available. A freepost return address was provided for completed surveys to encourage responses.

The survey asked people for feedback on their use of the library service, their awareness and current use of Library Plus, and their likely use of the scheme in the future.

Communications and media activity

The council communicated the Syston Library Plus Survey in a number of ways, including:

- Email to all Syston library users (with a recorded email address)
- Publicity in Syston library
- Publicity during induction events for people signing up to use Library Plus

Communications activity was carried out as part of a wider communication plan about the pilot at Syston Library. This includes local television and press releases, library posters, e-blasts to a range of stakeholders, information on the County Council website and leaflet distribution to the local community.

Responses and respondent profile

Overview of responses

During the consultation period, 46 people responded to the survey. The majority (41) took part by completing an online survey, with the remainder returning a paper response (5).

Respondent profile

The questionnaire included a range of demographic questions.

The sample size does not allow for statistical analysis of results across different demographic groups; however the demographic profile of those responding to the

survey is as follows:

Age

7% under 24
16% 25-44
25% 45-64
52% 65 plus

Disability

16% had a long standing illness or disability

Gender reassignment

No respondents had a different gender identity to that which they had been assigned at birth

Race

100% white

Religion or belief

56% Christian
44% No religion

Sex

65% female; 35% male

Sexual orientation

100% heterosexual

Other groups

9% of respondents were carers of individuals aged 18 or over

Key themes from the feedback received can be summarised as follows:

Current aspirations:

- 31 out of the 46 respondents had signed up for the self-access scheme, giving the following reasons:
    - To be able to visit the library more often (19)
    - The Library Plus hours suit me more than current staffed opening hours (14)
    - Because using the library during the current staffed opening hours is difficult for me (10)
    - To try something new (9)
    - Because I think the library will be quieter during the Library Plus hours (4)
    - To be able to take my children to the library after work/school (3)
    - To be able to take my children to the library before school/work (1)

Impact:

- Most respondents felt that the introduction of smart library technology made no difference to how easy or difficult it was to access the service. Activities that were more likely to be affected were using the library to access information or to photocopy/print.
- There were 19 positive responses to using the library during self-access, and 5 negative concerning equipment not working or staff not being available for help.
- 18 out of 22 respondents rated their experience of using the library in self-access as good or very good
- Of the 8 respondents who hadn't yet used the library in self-access, 6 hadn't had the need, 2 hadn't yet been on the induction and 1 didn't have the confidence
- 35 out of 46 people said they would be likely or very likely to use the system again. 5 people said they wouldn't

Barriers:

- When asked about concerns regarding the use of self-access people cited being on their own, security, issues with other members, no staff being available, issues

with equipment and the risk of vandalism

The proposal to roll out smart library technology across 15 council run libraries would enable the Library Service to meet some of the MTFS savings targets by reducing the number of hours staff are present in the library. Respondents were asked what impact a reduction of staffed hours to 3 hours a day and an increase in self-access hours would have on their library use. Over half the respondents (24 out of 44) said it would make no difference to the likelihood of them using the library. Accessing information or using public computers were the activities which received most responses indicating they might find this harder.

Respondents were asked to select up to 10 Library Plus hours and up to 3 staffed hours. The most popular times for staffed hours were between 10am and midday.

Additional evaluation of the pilot revealed that no incidences of anti-social behaviour, security or theft were reported during self-access times at the library.

16.	Is any further research, data collection or evidence required to fill any gaps in your understanding of the potential or known affects of the policy on target groups?

It is intended to undertake a dialogue with local communities where a rollout of library self-access takes place. The purpose of this would be to contact specific groups in the area in order to inform decisions on when the staffed hours at each library should be focussed. The intention is to reflect this in the staffed hours as far as is practically possible, allowing for workable opening hours for the public and staff timetabling.

It would also be beneficial to undertake more detailed analysis of data relating to the age group 8 – 15, in particular to consider the potential impacts on library use during school holidays

When considering who is affected by this proposed policy, it is important to think about consulting with and involving a range of service users, staff or other stakeholders who may be affected as part of the proposal.

17.	Based on the gaps identified either in the EHRIA Screening or independently of this process, <u>how</u> have you further consulted with those affected on the likely impact and <u>what</u> does this consultation tell you about each of the diverse groups?

See 16

18.	Is any further consultation required to fill any gaps in your understanding of the potential or known effects of the policy on target groups?
	As part of the roll out there will be engagement with local communities, to help inform the development of the individual action plan for each library affected, to ensure that it best reflects the needs of that community.

Section 3 **B: Recognised Impact**		
19.	Based on any evidence and findings, use the table below to specify if any individuals or community groups who identify with any 'protected characteristics' are <u>likely</u> be affected by this policy. Describe any positive and negative impacts, including what barriers these individuals or groups may face.	
		Comments
	Age	Children under the age of 16 are not able to register for self-access due to concerns around health and safety and safeguarding. However they are able to access the library during these times if accompanied by an adult. In addition, the survey revealed that some adults had registered with the scheme so that they could take advantage of the additional hours, which enabled them to take their children to the library both before and after school. So an increase in convenience may lead to an increase in use. Children aged 8 and above are currently allowed to access the library in staffed hours on their own, so a replacement of staffed hours with self-access hours may affect their use of the library. However, there are no statistics available to inform how many children this is likely to affect. The proportion of young people aged 16-17 who registered to use the library during self-access is higher than that found in the general profile of Syston library users, which suggests that it may be more popular with this age group. Anecdotal evidence suggests that this may be due to the library being less busy and better for study / homework. Older people (aged 60 plus) accounted for 44% of those registering for self-access. This compares to only 19% of the general customer profile for Syston library which would suggest that this age group were not as reluctant to use self-access as anticipated. Some responses to the survey might suggest that barriers could involve lack of confidence in using a self-access solution and worries over security, although the survey report does

		not link specific answers with any particular demographic group.
	Disability	The proportion of people with a disability using self-access was slightly higher than that of the general profile of Syston library users (3% as against 2.6%). This would seem to suggest that using a self-access system was not a barrier to the existing disabled library users. In addition, the further telephone consultation undertaken with users who have a disability profile revealed that they were happy with the system. However the numbers are small and it is difficult to know the level of disability experienced by these users. There may therefore still be disabled users who might have concerns over self–evacuation, security or lack of staff support to access services.
	Gender Reassignment	Analysis of current library user data suggests that there are 4 users who identify as transgender. No one who registered for self-access identified as transgender so no further information is available on this group, Whilst there is no evidence to indicate whether extending opening hours would increase or decrease accessibility for transgender users. The change could impact on feelings of vulnerability, as well as individual preferences about when to use the library.
	Marriage and Civil Partnership	No specific impacts or barriers identified.
	Pregnancy and Maternity	Libraries provide a useful information point for women in pregnancy and during maternity. Although this type of information may be provided elsewhere e.g. GP surgeries, pregnancy/maternity services. There is no evidence to indicate whether extending opening hours would increase or decrease accessibility. However, it is acknowledged that a library user in the later stages of pregnancy may feel less comfortable using a library with no staff present.
	Race	Analysis of current library user data indicates that approximately 10% of users are non-

		white. However, this varies between the different library locations. 11% of the general Syston library user base is non-white, but analysis of the self-access users reveals only 6% as being non-white. As none of the respondents to the survey were non-white it is difficult to draw conclusions about how this section of the community view self-access and whether they would be more or less likely to use the library during these times.
	Religion or Belief	Analysis of current library user data indicates that approximately 70% of users identify as having a religion. Of these the most commonly recorded religion is Christian. The percentage for Syston library is slightly higher at 73%. Of those people who registered for self-access only 29 had answered the question on religion. Of these 48% were Christian, 10% Hindu and 41% had no religion. With numbers so small it is difficult to be able to draw any definite conclusions. Extending opening hours could increase accessibility for those of particular religions allowing them to visit outside the times of religious observance.
	Sex	Analysis of library user data shows that approximately 60% of all library users are female and 40% are male. The Syston library user base has a slightly higher percentage of females and the self-access user base is higher still at almost 69% female. However when considering actual visits during self-access hours, 46% of visits were by males. This may be related to preference for different ways of using the library. Any potential impacts of smart technology may still be disproportionately greater on female library users, although fears over personal security which might be assumed to be higher amongst females has not seemed to have translated into fewer registrations for the service.

	Sexual Orientation	Analysis of library user data shows that approximately 3% of library users identify as being gay, lesbian or bisexual. None of the library users who registered for self-access identified as LGBT, but as only 6% registered any kind of sexual orientation at all it is difficult to draw any conclusions from this data. No evidence has been forthcoming that would suggest a disinclination on the part of the LGBT community to use the library during self-access. Extending opening hours could increase or decrease accessibility for these users by impacting on vulnerability and preferences about when to use the library.
	Other groups e.g. rural isolation, deprivation, health inequality, carers, asylum seeker and refugee communities, looked after children, deprived or disadvantaged communities	Smart library technology could potentially impact on a number of other groups, but it could have a positive or negative impact depending on how and when those groups choose to access a library. Potentially these could include those at risk of rural isolation, deprived or disadvantaged communities, those with particular health conditions and carers.
	Community Cohesion	Libraries provide an opportunity for individuals, groups and communities to come together to share experiences and learn from each other. These types of cultural activities enable people to find out about themselves and where they have come from as well as leading to greater understanding of other groups and communities. Thereby enhancing people's quality of life by developing their sense of belonging and by bringing communities together and making them stronger. Self-access provides an opportunity to extend opening hours and increase community use of the space in the evenings and during day time closed periods. This could therefore have a positive effect on community cohesion. Evidence from other authorities suggests that self-access can foster a sense of community and personal responsibility for the library space which isn't present when the library is staffed.

20.	Based on any evidence and findings, use the table below to specify if any particular Articles in the Human Rights Act are <u>likely</u> apply to your policy. Are the human rights of any individuals or community groups affected by this proposal? Is there an impact on human rights for any of the protected characteristics?	
		Comments
	Part 1: The Convention- Rights and Freedoms	
	Article 2: Right to life	Unlikely to apply
	Article 3: Right not to be tortured or treated in an inhuman or degrading way	Unlikely to apply
	Article 4: Right not to be subjected to slavery/ forced labour	Unlikely to apply
	Article 5: Right to liberty and security	Unlikely to apply
	Article 6: Right to a fair trial	Unlikely to apply
	Article 7: No punishment without law	Unlikely to apply
	Article 8: Right to respect for private and family life	Whilst there is no evidence this policy will impact this article, it is acknowledged that libraries are an important source of information, knowledge and opportunities to assist some people (e.g. in low income households) to enjoy a similar quality of home life to more wealthy neighbours.
	Article 9: Right to freedom of thought, conscience and religion	Whilst there is no evidence that this policy will impact this article, libraries are an important source of impartial information which may be difficult to obtain elsewhere, e.g. concerning legal rights for minority cultures and religions.
	Article 10: Right to freedom of expression	Unlikely to apply
	Article 11: Right to freedom of assembly and association	Unlikely to apply
	Article 12: Right to marry	Unlikely to apply
	Article 14: Right not to be discriminated against	Unlikely to apply
	Part 2: The First Protocol	
	Article 1: Protection of property/ peaceful enjoyment	Unlikely to apply

	Article 2: Right to education	Libraries provide access to educational resources, however for most children the main responsibility for education lies with schools. Some home educated children might be affected and extended opening hours could have a positive effect. Similarly adults using the library for educational purposes may find it easier due to increased opening hours or harder to use the library during self-access according to their preferences and need for staff support.
	Article 3: Right to free elections	Unlikely to apply

Section 3
C: Mitigating and Assessing the Impact

Taking into account the research, data, consultation and information you have reviewed and/or carried out as part of this EHRIA, it is now essential to assess the impact of the policy.

21.	If you consider there to be actual or potential adverse impact or discrimination, please outline this below. State whether it is justifiable or legitimate and give reasons.

Self-access technology presents many opportunities, but there is potential for it to have an adverse effect on some individuals with protected characteristics, in particular those over 60, 16 and under and those with a disability. The Library Service will seek to mitigate any negative impact in the following ways:

- By maintaining some staff presence at the library and prioritising this time to coincide with those times most often used by people over 60, people with a disability and families with children 16 and under. Analysis of usage patterns by subsets of the customer profile has identified these times as being 10am – 12 noon and 3pm-5pm. This was further endorsed by the data from the pilot evaluation survey

- By providing a CCTV system which is monitored during self–access hours to enhance security.

- By providing a phone for use in an emergency or for reporting issues with the building.

- By providing a feedback system which enables users to alert staff to any concerns about the use of the building.

- By installing additional safety devices such as a fire alarm which is both audible and with visible flashing beacons to ensure all users are adequately warned in the event of evacuation.

- Through the provision of a toilet controlled by a radar key. Toilets are usually locked during self-access times and this will enable people with a radar key to be able to access the toilet.

- By encouraging use of the system by community groups and local public sector workers, for instance the PCSO and other council staff during Library Plus hours.

- By providing a thorough induction to the self-access system which explains all the measures above, provides refresher information on how to access the self-service kiosks and pcs / photocopier without staff assistance and outlines the evacuation procedures for the building.

- By providing inductions at times which are suitable for people to attend and which are inclusive in their delivery.

- By providing information and other materials in a format which is useful to all customers.

- By reconsidering the ICT infrastructure provided for libraries with the aim of reducing the number of current issues and making it easier to use without staff support.

- By replacing and upgrading the self-service kiosks.

N.B.

i) If you have identified adverse impact or discrimination that is illegal, you are required to take action to remedy this immediately.

ii) If you have identified adverse impact or discrimination that is justifiable or legitimate, you will need to consider what actions can be taken to mitigate its effect on those groups of people.

22.	Where there are potential barriers, negative impacts identified and/or barriers or impacts are unknown, please outline how you propose to minimise all negative impact or discrimination. a) include any relevant research and consultations findings which highlight the best way in which to minimise negative impact or discrimination b) consider what barriers you can remove, whether reasonable adjustments may be necessary, and how any unmet needs that you have identified can be addressed c) if you are not addressing any negative impacts (including human rights) or potential barriers identified for a particular group, please explain why

Individual improvement plans for each library where self-access is installed, will allow for the consideration of the specific make-up of that local community and for any necessary mitigation measures to be identified.

Section 3
D: Making a decision

23.	Summarise your findings and give an overview as to whether the policy will meet Leicestershire County Council's responsibilities in relation to equality, diversity, community cohesion and human rights.

Following analysis of existing user data and feedback from the Syston pilot, it is felt that this policy will meet the County Council's responsibilities in relation to equality, diversity, community cohesion and human rights, because the: -

- network of 16 libraries will be retained
- the number of hours when people can access the library will increase
- measures will be put in place to ensure that the library is a safe space during Library Plus hours

However, it is still recognised that there is potential for negative impact for young people and those with a disability, this will be mitigated through the production of individual actions for each library where the technology will be introduced, informing when the staffed hours will be targeted.

Section 3 **E: Monitoring, evaluation & review of your policy**	
24.	Are there processes in place to review the findings of this EHRIA and make appropriate changes? In particular, how will you monitor potential barriers and any positive/ negative impact? Further monitoring of any library customer user profiles will be undertaken to estimate if the introduction of self –access has had an effect on the profile of people using the library and any implications for future service provision. In addition, feedback mechanisms introduced as part of the pilot (forms, email address, feedback to staff when available, white board in the library) will continue to be monitored in order to address any particular issues with access. A post implementation review of smart library technology should be undertaken after a suitable period of operation, e.g. 1 year, to assess its overall impact on library use.
25.	How will the recommendations of this assessment be built into wider planning and review processes? *e.g. policy reviews, annual plans and use of performance management systems* Recommendations from the review process will be addressed through the C&W Service Annual Plan and where appropriate reflected in individual library business plans

Section 3:
F: Equality and human rights improvement plan

Please list all the equality objectives, actions and targets that result from the Equality and Human Rights Impact Assessment (EHRIA) (continue on separate sheets as necessary). These now need to be included in the relevant service plan for mainstreaming and performance management purposes.

Equality Objective	Action	Target	Officer Responsible	By when
ALL	Engagement/dialogue with library users and stakeholder in advance of Smart library technology being implemented	To inform understanding of individual community needs, so these can be reflected in library plus and staffed hours	Nigel Thomas / Liz Evans	Dec 2018
ALL	Development of individual action plans for each library where smart library technology will be implemented	To ensure the model for staffed and library plus hours best reflect local need; to ensure any other mitigation measures are identified	Nigel Thomas / Liz Evans	Dec 2018
ALL	Undertake post implementation review of Smart library technology after 1 year of operation	To identify successes and weaknesses and seek to address within resources available	Nigel Thomas / Liz Evans	Dec 2019

Section 4: Sign off and scrutiny

Upon completion, the Lead Officer completing this assessment is required to sign the document in the section below.

It is required that this Equality and Human Rights Impact Assessment (EHRIA) is scrutinised by your Departmental Equalities Group and signed off by the Chair of the Group.

Once scrutiny and sign off has taken place, a depersonalised version of this EHRIA should be published on Leicestershire County Council's website. Please send a copy of this form to louisa.jordan@leics.gov.uk, Members Secretariat, in the Chief Executive's department for publishing.

Section 4
A: Sign Off and Scrutiny

Confirm, as appropriate, which elements of the EHRIA have been completed and are required for sign off and scrutiny.

Equality and Human Rights Assessment Screening [X]

Equality and Human Rights Assessment Report [X]

1st Authorised Signature (EHRIA Lead Officer): ……

Date: ……

2nd Authorised Signature (DEG Chair): ……

Date: ……

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APPENDIX A - BETTER CARE FUND REFRESH 2017/18 & 2018/19

Scheme Name	ASC Allocation Code	2017/18 SPENDING PLAN				2018/19 SPENDING PLAN			
		West Leics CCG £'000	East Leics & Rutland CCG £'000	Leics County Council £'000	Total Budget £'000	West Leics CCG £'000	East Leics & Rutland CCG £'000	Leics County Council £'000	Total Budget £'000
BCF1 - Unified Prevention Offer									
First Contact Plus		93.6	71.2	.0	164.8	94.6	71.9	.0	166.5
Total Unified Prevention Offer		**93.6**	**71.2**	**.0**	**164.8**	**94.6**	**71.9**	**.0**	**166.5**
BCF2 - Home First									
Care Act Support Pathway		257.9	196.1	.0	454.0	257.9	196.1	.0	454.0
Carers Health and Wellbeing Service *(funding for April 2017 only)*		7.8	5.9	.0	13.7	.0	.0	.0	.0
Intermediate Care		313.0	267.0	.0	580.0	313.0	267.0	.0	580.0
Reablement (NHS protected)		2,419.0	1,713.0	.0	4,132.0	2,419.0	1,713.0	.0	4,132.0
Intensive Community Support phase 1 (NHS protected)		951.0	870.0	.0	1,821.0	951.0	870.0	.0	1,821.0
Intensive Community Support phase 2 (CCG additional allocation)		1,367.3	1,195.5	.0	2,562.7	1,367.3	1,195.5	.0	2,562.7
Step Down (NHS protected)		300.0	229.0	.0	529.0	300.0	229.0	.0	529.0
Residential Respite Service		421.8	320.8	.0	742.6	421.8	320.8	.0	742.6
Health & Social Care Protocol Training		58.1	44.2	.0	102.3	58.1	44.2	.0	102.3
Increased demand for Nursing Care Packages		2,044.4	1,554.9	.0	3,599.3	2,044.4	1,554.9	.0	3,599.3
Increased demand for Home Care Service		6,273.0	4,771.0	.0	11,044.0	6,273.0	4,771.0	.0	11,044.0
Discharge Pathway 3 - Non-weight bearing pathway		48.5	36.9	.0	85.4	48.5	36.9	.0	85.4
Community Hospital Link Workers		118.7	90.3	.0	209.0	118.7	90.3	.0	209.0
Primary Care Coordinators (NHS protected)		208.0	184.0	.0	392.0	208.0	184.0	.0	392.0
Assessment and Review		931.5	708.4	.0	1,639.9	931.5	708.4	.0	1,639.9
Improving Mental Health Discharge		154.3	117.3	.0	271.6	155.8	118.5	.0	274.3
Bradgate Unit - develop an integrated discharge pathway/team	2.3	.0	.0	100.0	100.0	.0	.0	40.0	40.0
Home First Programme Team	3.1	.0	.0	200.0	200.0	.0	.0	100.0	100.0
Project Manager - Step Up/Step Down	3.3	.0	.0	50.0	50.0	.0	.0	25.0	25.0
Home First Commissioning Officer	3.4	.0	.0	50.0	50.0	.0	.0	25.0	25.0
HART Capacity	3.5	.0	.0	250.0	250.0	.0	.0	250.0	250.0
Integration of health & social care rehab/reablement services inc. 24 hour crisis response	3.6	.0	.0	150.0	150.0	.0	.0	250.0	250.0
Investment in telecare/telehealth to support ILT & Home First programmes	3.7	.0	.0	100.0	100.0	.0	.0	200.0	200.0
Provision of enhanced carer support services in line with new carers strategy	3.8	.0	.0	100.0	100.0	.0	.0	200.0	200.0
Development of interim bed capacity (D2A)	3.9	.0	.0	400.0	400.0	.0	.0	750.0	750.0
Stabilising the social care provider market		.0	.0	3,044.0	3,044.0	.0	.0	7,201.5	7,201.5
Discharge Pathway 3		.0	.0	.0	.0	273.3	169.0	.0	442.3
Total Home First		**15,874.3**	**12,304.3**	**4,444.0**	**32,622.5**	**16,141.3**	**12,468.6**	**9,041.5**	**37,651.4**
BCF3 - Integrated Housing Support									
Assistive Technology	7.4	.0	.0	760.0	760.0	.0	.0	680.0	680.0
Lightbulb - Housing Discharge Enabler	7.4	.0	.0	114.0	114.0	.0	.0	.0	.0
Disabled Facilities Grants									
* Blaby DC		.0	.0	499.5	499.5	.0	.0	542.2	542.2
* Charnwood BC		.0	.0	846.3	846.3	.0	.0	920.2	920.2
* Harborough BC		.0	.0	385.7	385.7	.0	.0	418.5	418.5
* Hinckley and Bosworth BC		.0	.0	439.7	439.7	.0	.0	472.8	472.8
* Melton BC		.0	.0	259.4	259.4	.0	.0	281.5	281.5
* North West Leicestershire BC		.0	.0	573.0	573.0	.0	.0	621.2	621.2
* Oadby and Wigston BC		.0	.0	346.3	346.3	.0	.0	375.9	375.9
Sub Total Disabled Facilities Grants		***.0***	***.0***	***3,349.9***	***3,349.9***	***.0***	***.0***	***3,632.3***	***3,632.3***
Total Integrated Housing Support		**.0**	**.0**	**4,223.9**	**4,223.9**	**.0**	**.0**	**4,312.3**	**4,312.3**
BCF4 - Integrated Domiciliary Care - Help to Live at Home (HTLAH)									
Community Based Review Team		234.3	178.2	.0	412.5	234.3	178.2	.0	412.5
Reablement - HART (Step Down)		420.3	329.7	.0	750.0	426.2	323.8	.0	750.0
Reablement - Independent Providers (Step Up)		241.9	189.7	.0	431.6	245.2	186.4	.0	431.6
Back Office Support		56.8	43.2	.0	100.0	56.8	43.2	.0	100.0
3 OT Posts & Specialised Equipment for double handed care to single handed care	1.2	.0	.0	220.0	220.0	.0	.0	50.0	50.0
Extend HTLAH Project	4.1	.0	.0	200.0	200.0	.0	.0	.0	.0
Additional review capacity for HTLAH transitions	4.2	.0	.0	60.0	60.0	.0	.0	.0	.0
Commissioning, QIT and brokerage	4.3	.0	.0	100.0	100.0	.0	.0	.0	.0
Investment in dom care market to increase capacity	6.8	.0	.0	100.0	100.0	.0	.0	1,000.0	1,000.0
Integrated Domiciliary Care		**953.3**	**740.8**	**680.0**	**2,374.1**	**962.5**	**731.6**	**1,050.0**	**2,744.1**
BCF5 - Integrated Locality Teams									
Proactive Care Model		540.0	.0	.0	540.0	540.0	.0	.0	540.0
Integrated Care Teams		.0	430.0	.0	430.0	.0	430.0	.0	430.0
Cardiorespiratory (LTC QIPP)		273.3	169.0	.0	442.3	.0	.0	.0	.0
LLR Community Stroke & Neurology Rehabilitation Service		174.4	103.9	.0	278.3	174.4	103.9	.0	278.3
Implementation of Care Coordinators for Integrated Locality Teams	2.1	.0	.0	100.0	100.0	.0	.0	100.0	100.0
Integrated Locality Teams		**987.7**	**702.9**	**100.0**	**1,790.6**	**714.4**	**533.9**	**100.0**	**1,348.3**
BCF6 - Integrated Urgent Care									
End of Life Night Nursing Service		142.0	109.7	.0	251.8	142.0	109.7	.0	251.8
Released funding for Crisis Response Service - Night Nursing Service		86.0	62.3	.0	148.2	86.0	62.3	.0	148.2
Crisis Response Service (CRS) - Social Care		321.3	244.3	.0	565.6	324.5	246.8	.0	571.3
Loughborough Super Hub		890.0	.0	.0	890.0	890.0	.0	.0	890.0
Reallocation of Rapid Assessment for OPU (ELRCCG)		.0	776.0	.0	776.0	.0	776.0	.0	776.0
Home Visiting Service		1,278.5	622.5	.0	1,901.0	1,278.5	622.5	.0	1,901.0
Total Integrated Urgent Care		**2,717.8**	**1,814.8**	**.0**	**4,532.6**	**2,721.0**	**1,817.3**	**.0**	**4,538.3**
BCF7 - Integrated Points of Access									
50% contribution to the phase 2 implementation costs	2.4	.0	.0	600.0	600.0	.0	.0	230.0	230.0
Total Integrated Points of Access		**.0**	**.0**	**600.0**	**600.0**	**.0**	**.0**	**230.0**	**230.0**
BCF8 - Integrated Data									
PI Care and Healthtrak		36.1	27.4	.0	63.5	36.1	27.4	.0	63.5
Total Integrated Data		**36.1**	**27.4**	**.0**	**63.5**	**36.1**	**27.4**	**.0**	**63.5**
BCF9 - Integrated Commissioning									
Improving Quality in Care Homes		288.7	219.5	.0	508.2	291.6	221.8	.0	513.4
Integrated approach to the commissioning of residential & nursing home provision		51.7	39.3	.0	91.0	6.8	5.2	.0	12.0
Care Homes - SME for Commissioning Group, support to EHCH bid. Proj Mgr Integrated Commissioning of Care Homes	3.2	.0	.0	100.0	100.0	.0	.0	50.0	50.0
Post Diagnostic Community & In-Reach Service for people affected by Dementia		203.7	162.5	.0	366.2	193.0	153.9	.0	346.9
LD Short Breaks (NHS protected)		588.0	256.0	.0	844.0	588.0	256.0	.0	844.0
Personal budget, Community Life Choices & Supported Living Review Team	1.1	.0	.0	850.0	850.0	.0	.0	.0	.0
Multi-disciplinary review team for top 100 high cost placements	1.3	.0	.0	170.0	170.0	.0	.0	80.0	80.0
Reviewing working age mental health in residential care (s117)	1.4	.0	.0	70.0	70.0	.0	.0	.0	.0
Support for new extra care facility	1.5	.0	.0	70.0	70.0	.0	.0	30.0	30.0
GP input into the Waterside extra care facility		16.7	.0	.0	16.7	50.0	.0	.0	50.0
CHC Commissioning capacity to support new CHC end to end process & ensure transfer to assess D2A pathways	2.2	.0	.0	90.0	90.0	.0	.0	60.0	60.0
Resources to support commissioning for better outcomes	7.3	.0	.0	20.0	20.0	.0	.0	20.0	20.0
Total Integrated Commissioning		**1,148.8**	**677.3**	**1,370.0**	**3,196.1**	**1,129.4**	**636.9**	**240.0**	**2,006.3**
BCF10 - Transforming Care									
Investment in Residential Care/Supported Living/Reablement Unit	5.1	.0	.0	250.0	250.0	.0	.0	750.0	750.0
Contribution to capital costs of Transforming Care accommodation costs	5.2	.0	.0	500.0	500.0	.0	.0	.0	.0
Case Managers for Transforming Care to support inpatient reductions	5.3	.0	.0	50.0	50.0	.0	.0	25.0	25.0
Total Transforming Care		**.0**	**.0**	**800.0**	**800.0**	**.0**	**.0**	**775.0**	**775.0**
BCF11 - BCF Enablers									
Care Act Enablers		42.7	32.4	.0	75.1	42.7	32.4	.0	75.1
Integration Programme Management		197.1	149.7	52.6	399.4	199.0	151.2	53.1	403.3
Specialist OD support to develop TOM	6.1	.0	.0	30.0	30.0	.0	.0	.0	.0
Implement Customer Portal	6.2	.0	.0	50.0	50.0	.0	.0	.0	.0
IT infrastructure to support integrated discharge team, self service and mobile working	6.3	.0	.0	150.0	150.0	.0	.0	.0	.0
Apprenticeship scheme for gaps in market, e.g. home care	6.4	.0	.0	100.0	100.0	.0	.0	100.0	100.0
Development of external workforce	6.5	.0	.0	65.0	65.0	.0	.0	.0	.0
Additional HR/OD Support	6.6	.0	.0	.0	.0	.0	.0	.0	.0
Support to develop PA market	6.7	.0	.0	50.0	50.0	.0	.0	.0	.0
Additional TU Business Consultancy Capacity	7.1	.0	.0	60.0	60.0	.0	.0	50.0	50.0
Additional Department Support for Transformation	7.2	.0	.0	100.0	100.0	.0	.0	100.0	100.0
Total BCF Enablers		**239.8**	**182.1**	**657.6**	**1,079.5**	**241.7**	**183.6**	**303.1**	**728.4**
Total BCF Schemes Spend (Recurrent)		**22,051.3**	**16,520.8**	**3,349.9**	**41,922.0**	**22,041.0**	**16,471.2**	**3,632.3**	**42,144.5**
Total ASC Allocation Spend (Non-Recurrent) & LCC recurrent		**.0**	**.0**	**9,525.6**	**9,525.6**	**.0**	**.0**	**12,419.6**	**12,419.6**
TOTAL BCF SPEND		**22,051.3**	**16,520.8**	**12,875.4**	**51,447.6**	**22,041.0**	**16,471.2**	**16,051.9**	**54,564.0**
CONTINGENCY									
CCG Contingency		500.0	500.0	.0	1,000.0	500.0	500.0	.0	1,000.0
Risk Pool		500.0	500.0	.0	1,000.0	500.0	500.0	.0	1,000.0
Cost Improvement Target		-840.6	-487.2	.0	-1,327.8	-434.3	-136.7	.0	-570.9
TOTAL CONTINGENCY		**159.4**	**512.8**	**.0**	**672.2**	**565.7**	**863.4**	**.0**	**1,429.1**
TOTAL EXPENDITURE		**22,210.7**	**17,033.6**	**12,875.4**	**52,119.8**	**22,606.8**	**17,334.5**	**16,051.9**	**55,993.1**

CCG BCF Minimum Funding Allocation	20,843.5	15,838.1		**36,681.6**	21,239.5	16,139.0		**37,378.5**
CCG BCF Additional Funding Allocation	1,367.3	1,195.5		**2,562.7**	1,367.3	1,195.5		**2,562.7**
iBCF Supplementary Funding (Social Care Allocation - Spring 2017)			9,525.6	**9,525.6**			6,837.6	**6,837.6**
iBCF (Autumn 2015 Spending Review Announcement)			.0	**.0**			5,582.0	**5,582.0**
DFG Allocation			3,349.9	**3,349.9**			3,632.3	**3,632.3**
Total Allocation	**22,210.7**	**17,033.6**	**12,875.4**	**52,119.8**	**22,606.8**	**17,334.5**	**16,051.9**	**55,993.1**
Over/Underspend Commitment	**.0**	**.0**	**.0**	**.0**	**.0**	**.0**	**.0**	**.0**

Key

Improved Better Care Fund Spend

National Condition - Maintaining Social Care Spend

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Appendix B - Extract from Leicestershire Better Care Fund Risk Register

Likelihood	Consequences				
	1 (Insignificant)	2 (Minor)	3 (Moderate)	4 (Major)	5 (Catastrophic)
1 (Rare)	1	2	3	4	5
2 (Unlikely)	2	4	6	8	10
3 (Possible)	3	6	9	12	15
4 (Likely)	4	8	12	16	20
5 (Almost certain)	5	10	15	20	25

Risk Number	Risk Description: describe the cause (hazard), and effect (risk)	Original Likelihood Score	Original Impact Score	Original Risk rating	Risk Level	Date Added to Risk Register	Mitigating Actions/Controls Required	Responsible Person	Reviewed Likelihood Score	Reviewed Impact Score	Reviewed Risk rating	Risk Movement from last assessment ◄►/▲/▼/◄	Risk Status
BCF10	If the rate of improvement for the BCF DTOC target is not achieved within the timescales agreed with NHS England, then a proportion of the Improved BCF funding for 2018/19 may be withheld from the Local Authority.	3	4	**12**	**High**	**Jul-17**	LLR DTOC trajectory of improvement has been aligned across the different national targets. Improvement to the required level set out by March 2018, in line with agreed target with LLR A&E Delivery Board. LLR self-assessment completed against the Department of Health's 8 high impact changes for managing transfers of care. LLR action plan to improve DTOC focuses on remaining gaps and is already underway. New LLR DTOC dashboard includes metrics and provides weekly performance data. IBCF and BCF funds have been directed to priority improvements across acute, non-acute and out of county care settings. Adult Social Care priority actions to improve DTOC have been refreshed for 2017/18, and these are well underway, with a particular focus on non-acute and out of county settings. Leicestershire to use the CQC DTOC assessment framework by December 2017 - for further assistance. Integration Executive to review the implications of any further guidance on how IBCF monies might be withheld in the case of poor DTOC performance (when known). Monthly review of DTOC progress/performance and updates to risk register accordingly.	Cheryl Davenport	3	4	**12**	◄►	**Open**
				0							**0**		

Minerals and Waste Local Plan

Schedule of Proposed Changes to Pre-Submission Draft

(2017)

PC1: **Paras 4.7 and 4.8** – Delete and replace with:

"For Construction and Demolition (C&D) waste, existing operational recycling capacity together with sites permitted for C&D recycling but not yet operational, would be sufficient to meet off-site recycling requirements throughout the plan period assuming that there will be no growth in arisings. The average amount of C&D waste going to landfill between 2008 and 2014 was 580,000 tonnes per annum. Allowing for a 70% recovery rate for C&D waste other than excavated soils, it is estimated that some 530,000tpa of inert landfill capacity is needed. Based on inert landfill capacity that is currently available, there will be a shortfall at key years of 85,000 tonnes at 2020/21, 290,000 tonnes at 2025/26, and 440,000 tonnes at 2030/31 (see Table 8).

The above assumes that infilling occurs at each site at the current average input rate, and none of these landfills are given either an extension in time or a physical extension. In view of the identified shortfalls, provision is made in the plan for additional inert waste disposal at three sites (see Policy W8). These allocations have the potential to provide additional landfill capacity of up to 600,000tpa. Depending on the phasing of operations and actual input rates, these sites could enable the predicted shortfalls to be met. However, there is also the possibility of a shortfall of inert waste disposal capacity by 2030/31 of some 190,00tpa in which case an additional inert waste disposal site beyond those allocated and permitted would be needed "

PC2: **Table 8** – Delete and replace with:

Table 8: Indicative scale (tonnes per annum [tpa]) and number of facilities required for the landfilling of construction & demolition (inert) waste, based on operational capacity.

Year	Gross Requirement (tpa)	Capacity (tpa)	Shortfall/ Surplus (tpa)	New facilities required (no. & tpa)
2020/21	530,000	445,000	-85,000	1 of 100,000
2025/26	530,000	240,000	-290,000	3 of 100,000
2030/31	530,000	90,000	-440,000	4 of 100,000

PC3: **Para 4.53** – Delete and replace with:

"The waste needs assessment shows that there will be a need to provide further inert landfill capacity beyond that provided by existing facilities, and the development of permitted but not operational capacity (see Table 8 above). It is therefore proposed to make provision for additional

inert waste capacity at 3 sites. The County Council considers that the proposed areas set out in Policy W8 would be environmentally acceptable, subject to particular issues having been satisfactorily addressed as set out in Appendix 1, accompanying Inset Plans showing the location of the proposed sites. It may also be appropriate to allow sites to be permitted where the need can be demonstrated and there is an environmental benefit to be achieved, for example in securing appropriate restoration of a mineral working, or where the development is part of an integrated waste management development proposal."

PC4: **Policy W8** – Add:

"The County Council will make provision over the plan period (2015 to 2031) for the disposal of inert waste at the following locations:
(i) the remaining permitted capacity available at the following existing landfill operations:
Brooksby; Ellistown; Huncote; Husbands Bosworth; Lockington; New Albion; Shawell; and Slip Inn
(ii) the following additional landfill areas as shown on the Policies Map Insets, subject to the requirements set out in Boxes SA1, SA3 and SA7:
Brooksby Quarry; Husbands Bosworth Quarry; and Ibstock Quarry."

PC5: **Table 13** – Add:

"Planning permissions granted for allocated inert waste landfill sites Brooksby and Husbands Bosworth to be granted planning permission by 2021 and Ibstock by 2026."

PC6: **Key Diagram** – Amend to show location of allocated inert waste landfill sites

PC7: **Appendix 1 County Plan –** Amend to include additional box (SA7) related to Ibstock.

PC8: **Appendix 1 Box SA2 (Cadeby)** – Add further bullet point:

"Provision of an appropriate stand-off distance from the watercourse adjacent to the site"

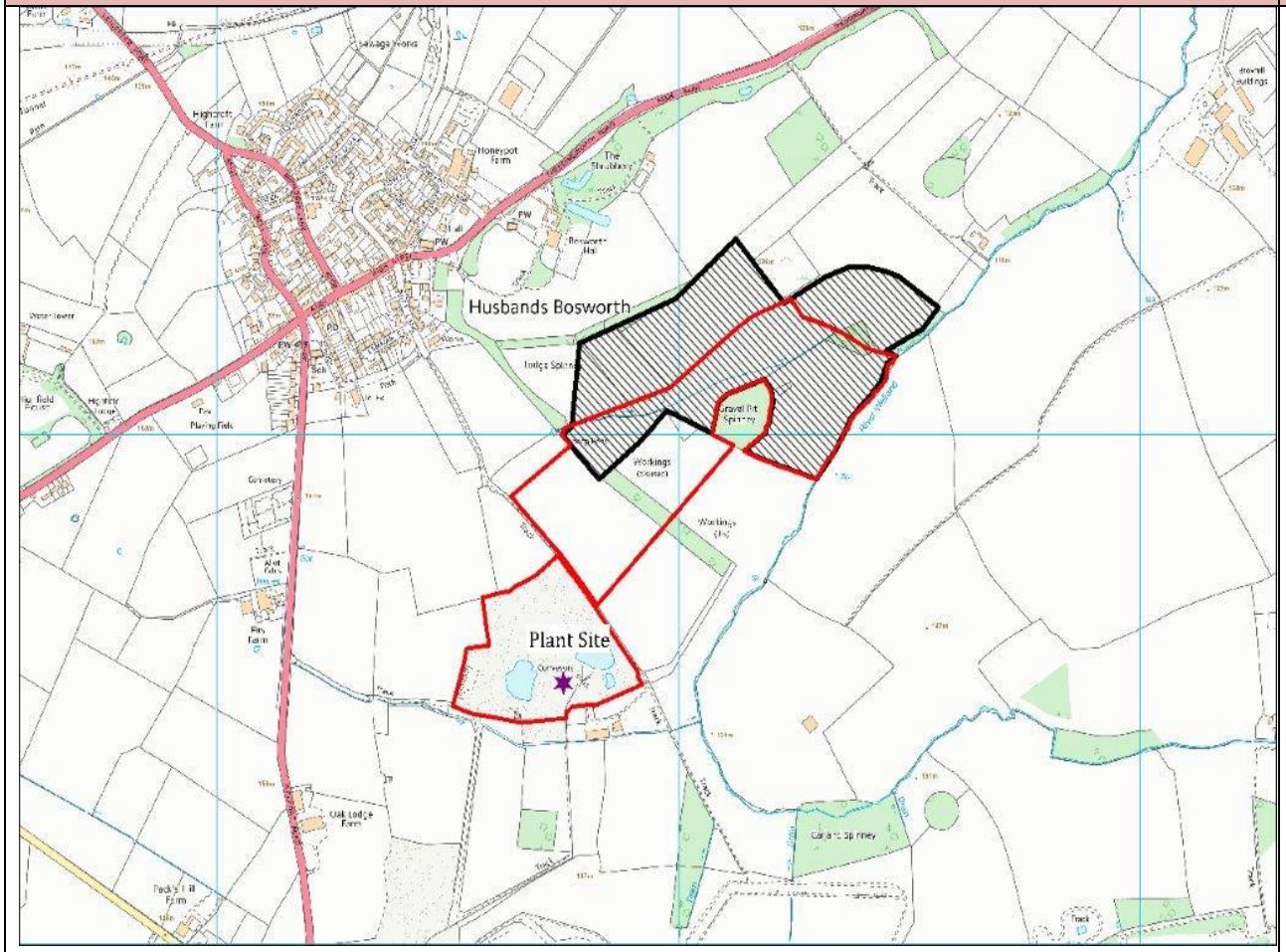
PC9 **Appendix 1 Box SA3 (Husbands Bosworth)** – amend Inset Map and text to allow restoration to be achieved, in part, with the importation of inert waste subject to, amongst other matters, the provision of a net gain to biodiversity above that currently consented on those areas already subject to restoration requirements (see below).

PC10: **Appendix 1 Box SA5 (Donington Island)** – Amend last bullet point to read:

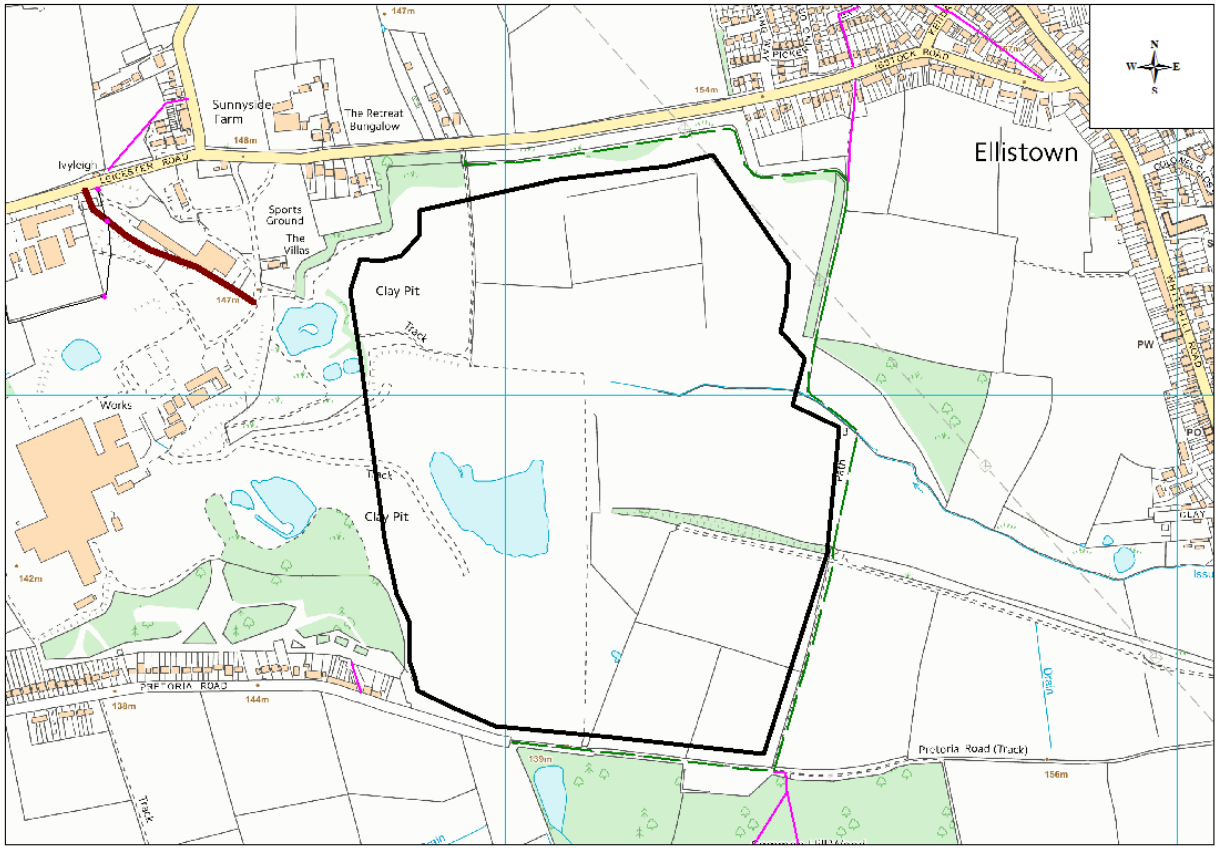
"Restoration to include species-rich grassland, wetland and native deciduous woodland."

PC11: **Appendix 1** – Add new Inset Map and Box (SA7) related to Ibstock Quarry (see below).

Husbands Bosworth Quarry

Inset Map SA3	Box SA3
	• Extension to existing extraction area shall be limited to the cross-hatched area (Policy M2 refers) • Impact on the River Welland and its floodplain. • Protection of a corridor of natural open space alongside the River Welland and around any retained wetlands. • Assessment of the effect on the setting of Bosworth Hall. • Appropriate management of non-designated heritage assets. • Assessment of the ecological value of the unnamed woodland within the site. • Retained hedgerows should incorporate an element of traditional hedgerow management, where not already being so managed. • Restoration proposals which reflect the objectives of the Laughton Hills local landscape and Leicestershire Vales national landscape character areas, and provide the best balance of enhancing biodiversity and the preservation of best and most versatile soil resources. • Restoration to include woodland to link Gravel Pit Spinney to existing woodland adjacent to the River Welland and provide for a net gain to biodiversity above that currently consented on those areas already subject to restoration requirements. • Restoration to be achieved with the importation of inert waste within the area outlined in red (Policy W8 refers).

Ibstock Quarry

Inset Map SA7	Box SA7
	• No infilling operations to take place at the same time as infilling operations at Ellistown Quarry • Restoration to provide a combination of shallow wetlands, arable/grassland, hedgerows and broadleaf woodland and provide for a net gain to biodiversity above that currently consented. • Access for HGVs to be gained solely via the existing internal access road and its access onto Ellistown Terrace Road. • Provision for the retention of Bridleways N61 and N101 • Provision of additional bridleway link to complete a circular route with N61 and N101. • Surveys of site and surroundings to determine the value of existing habitats and whether Great Crested Newts and badgers are on site.

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APPENDIX B

Proposed Amendments to Minerals and Waste Development Scheme 2016

Paragraph 4.4: Amend to read:

The following stages in the preparation of the MWLP have already been carried out:
Issues consultation: November 2013
Draft Plan consultation: July 2015
Pre-submission consultation: July/September 2016

Paragraph 4.5: Amend to read:
The anticipated timetable for delivery for the remaining stages of the Plan is as follows:
Consultation on Proposed Changes: October/November 2017
Submission: March 2018
Examination: September 2018 – February 2019
Adoption: May 2019

Profile Sheet for Minerals and Waste Local Plan: Amend to read:

TIMETABLE	
Commencement, prepare issues and alternative options & SA Scoping Report	June – November 2013
Consultation on Issues document & SA Scoping Report	November 2013 – January 2014
Consultation on Draft Plan & SA Report	July 2015 – August 2015
Publication of pre-submission document and consultation period for formal representations	July 2016 – September 2016
Consultation on Proposed Changes	October 2017- November 2017
Submission to Secretary of State	March 2018
Examination by Inspector	Autumn/Winter 2018/19
Adoption and publication	Spring 2019

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APPENDIX

Addendum of Focused Changes to the Melton Local Plan and Community Infrastructure consultation

Leicestershire County Council response

Education

GENERAL COMMENT

1. When considering the demand for places the County Council will consider a number of factors which include, as well as new housing; increases arising from births within catchment, and other demographic change for example inward migration.

2. In determining the potential to expand any particular school consideration is given to; current capacity and availability of places, site limitations and potential building/planning restrictions, as well as operational matters such as school performance, popularity and organisational structure. Account will also be taken of the availability of places at other schools within the locality and within statutory walking distances (deemed as the available route to a school). Pupil yield from housing sites which have already secured planning permission in the locality will also be taken into consideration. Further details on the County Council methodology for determining developer contributions is provided within Appendix 3 to the Leicestershire Planning Obligations Policy (LPOP) agreed in December 2014.This document is currently under review and changes are likely to be implemented before the Plan is approved.

3. The proposals set out in the document are welcomed in the sense that they define and up-date the expected housing growth strategy within the Borough for the next 20 years, particularly in relation to the Melton Mowbray South and North Sustainable Neighbourhoods, and Primary and Secondary Rural Centres. In contrast the planning timeframes for school places will normally cover 5 years for primary provision, based on known births, and 15 for secondary provision.

4. Key to developing solutions to provide additional school places will be an understanding of the commencement date and build out rates for the proposed housing growth. It is noted that the document provides up-dated information on the proposed pattern and rate of growth, this is helpful, however, is insufficiently detailed for school place planning purposes. A housing trajectory for each of the locations would assist in the education planning process.

5. In general terms there are two key issues arising from the Addendum of Focussed Changes to the Local Plan.

FC1 & FC2

6. The first relates to the sequence of housing growth, as outlined above this is of particular importance in the Primary and Secondary Rural Centres where a number of individual housing proposals might contribute to the expansion of local primary schools. Clearly, if such developments are not occurring simultaneously then planning for the provision of additional school places can create significant capital funding risks for the Local Authority (if commitment is given to a particular scheme) and may also lead to inefficient use of public resources.

FC1 & FC2

7. The second issue relates to the impact on Secondary provision in the Melton urban area given the lack of clarity around the sequence and size of developments to the north and south of the town and the rural locations that feed to the Melton town secondary schools. Further clarity in this regard will help the Local Authority determine the most appropriate solution for the provision of places.

8. In summary the LA would need to have further information surrounding the timing and scale of development to take account of the cumulative impact of housing proposals in each of the identified locations, this is essential to support the strategic planning of school places. It is not expected that any single housing development should carry the full burden of the provision of school places, it is important to take account of the collective impact of all developments within the locality – this is in keeping with the LPOP. To do this clarity about the number of houses to be build and the build out rates is essential.

9. In some locations there will be potential for phased development of additional provision to mitigate the financial risks, but this will not be the case for all schools.

10. With specific regard to the detail of the document, I would offer the following comments:-

    FC2.1 Policy SS4 Melton Mowbray South Sustainable Neighbourhood

    FC2.2 Policy SS5 Melton Mowbray North Sustainable Neighbourhood

Primary provision

11. The Council is pleased to note that a new primary school is included in both development areas. A 420 place school would be required in each location, the

cost of each school is currently in the region of £6.64million, and each site would need to be a minimum of 1.7ha.

Secondary provision

12. In view of the proposed development to the North and South of Melton and the surrounding villages, there is a need to ensure that secondary provision is planned in response to the overall growth across the district. Potentially there are two options for the provision of additional secondary places in Melton town, to:-

Option one

Share the additional secondary age pupils across the existing two Secondary Schools of John Ferneley and Long Field Colleges and expand both schools to accommodate the additional pupils. Costs have not been determined for this option as this is dependent upon the views of Melton Borough Council regarding flood plain development and land acquisitions. – Any expansion would require the agreement of both Academy Trusts to support the expansion, and advice from Melton planners regarding the development of the Long Field site part of which is located on a flood plain. It is strongly expected that any solution to expand the Long Field will be in excess of funds from normal developer contributions, in which circumstance the full cost of the work would be sought from the developer(s). Current estimates indicate this figure could be in the region of up to £8million. To expand John Fernley College would also require 2 -3 ha of additional land and would be likely to cost in the region of £5million.

Option two

Build a new 600 place secondary school in the town. This would require a site of approximately 5ha to be set aside by developers, but it would have the added benefit of future proofing secondary provision, in terms of further growth and demand for places. The cost to provide a 600 place secondary school is currently £16.6million.

13. The Authority's preferred option would be to expand both secondary schools to accommodate the additional pupils, at the estimated costs detailed above. However in the event that the number of dwellings approved goes above that indicated in the document it may be more appropriate to consider building a new secondary school. Whilst this is not considered necessary based on the current information, if required, it would cost in the region of £16.6million and require a site of 5ha.

FC4.1 Policy C1 – Housing allocations

Primary provision

14. Development of the Primary and Secondary Rural Centres will require S106 contributions to meet the cost of expanding the existing schools within the villages named. It is noted that the allocations for certain villages, in particular Long Clawson, Harby, Frisby, and Waltham have increased. Expansion of schools in village locations is problematic and costly, the schools in these locations occupy very constrained sites, with some located in conservation areas and/or having buildings of architectural value and have limited potential for expansion.

15. Two examples are Long Clawson and Waltham on the Wolds. Where it would be appropriate for the County Council to seek from developers the full costs of expanding schools rather than a contribution based on the yield rates and cost multipliers, this is set out for example in the response to application 2016/0032/06 for Sand Pit Lane, Long Clawson. There are a number of pending applications in Waltham on the Wolds where information has been provided to Planning Officers at MBC indicating the costs and requirements of expanding the school. In such circumstances the County Council would wish to see the contribution paid at a very early stage of development to ensure the early availability of places as new housing becomes occupied.

16. If this is not achievable or possible then the County Council may also seek an additional contribution to cover transport transitional costs for pupils to nearby schools having a place, until such time as the new accommodation is available in the locality. This may in part be mitigated if trigger points for S106 contributions are made early in each development.

17. Of particular concern are the reserved sites allocated for Long Clawson and Waltham on the Wolds, both village schools present major challenges in terms of expansion and the approval of additional sites will place further pressure on schools which are already struggling to meet the requirements of the former allocations.

18. The issue relating to sequencing and timing of housing developments is critical to these rural locations, and it is essential to count the cumulative impact of developments when planning for the provision of additional school places.

<u>Secondary provision</u>

19. Rural developments will either fall within the catchment area of the Melton town secondary schools, and would be considered as part of the Secondary options outlined above, or within the catchment area of the Bottesford Belvoir High school, which based on current forecast pupil numbers is capable of expansion to accommodate the additional pupils from development in these areas.

FC4.2 Local Plan Appendix One – Sites allocations and policies

20. This document contains information on school current and forecast numbers which was correct as at March 2017. This information has changed with the addition of up-dated pupil forecasts and births data; however the conclusion referred to in the document with regards to school places have not fundamentally changed.

FC10, FC12 and Community Infrastructure Levy consultation

21. The levy proposal for each of the areas does not reflect the availability or otherwise of school places, or the cost of providing additional places required.

22. The proposals for introducing CIL do not include Education provision on the 1,2,3, list. The assumption is therefore that school places will continue to be funded through the S106 process.

23. Given the proposed CIL rates and value of potential commitments on the 1,2,3, list will this leave sufficient funding from those developments to pay for additional school places?

Transport

24. We have been closely involved in drafting the focussed changes relating to transport infrastructure, and broadly welcome and support these changes given our role in supporting the future growth of Melton Mowbray. There are however a number of comments and points for clarification as set out below:

FC2, FC2.1, FC2.2, FC11, FC12

- Noting that it is not proposed to apply CIL to the Melton Urban Area, it would be helpful if the relevant local plan policies (in particular SS4/SS5, IN1/IN2) and the CIL Schedule could be cross-referenced such that it is clearer to readers how and where developments within the Melton Urban Area will nonetheless be contributing to the Melton Mowbray Transport Strategy (including the Melton Mowbray Distributor Road).

FC2

- The revised paragraph 4.5.4 states that "the development will also provide a new link road connecting the Scalford Road with Nottingham Road and upgrades to Bartholomew's Way and Welby Road linking to the A6006 Asfordby Road, as part of the wider Melton Mowbray Distributor Road." However, as Bartholomew's Way and Welby Road do not form part of the Melton Mowbray Distributor Road (as described elsewhere within the Local

Plan) this is potentially misleading and it is suggested that the paragraph be rephrased to separate these out.

FC2.2

- We note that policy SS5 now refers to the Melton (Country) Park Greenway as part of the Transport Infrastructure to be delivered through the site. In relation to this we interpret that this has been included as a general community need relating specifically to the site, identified through the Local Plan process. We would add that this does not currently form part of the Melton Mowbray Transport Strategy, given that this is still in development and therefore definitive measures for the transport strategy (other than the MMDR) have yet to be identified.

FC11

- Within policy IN1, the reference under subsection (a) should refer to paragraphs 8.3.16 and 8.3.17 (only refers to 8.3.17 at present).

Strategic Assets

25. The following comments are made by Strategic Property Services Asset Management Group in relation to the County Council's role as landowner.

26. Leicestershire County Council's land main interests in Melton Borough to which these comments relate are as follows:
    - Land at Sysonby Farm, Melton Mowbray – this site forms part of the Melton Mowbray North Sustainable Neighbourhood for which a separate detailed collaborative response will be submitted.
    - Potential smaller scale sites within Melton Mowbray and rural settlements throughout the Borough.

Focused Change 1.2

Policy SS2 – Development Strategy

27. Melton Borough Council's approach to the calculation of Objectively Assessed Need (OAN) and Employment Land Requirements is seen as sound and the retention of the headline housing numbers (6125 residential dwellings – 245 dwellings per annum) and employment land assessment (51 hectares) are supported as is the fact that these are seen as the minimum requirements for the period to 2036 by the inclusion of the words *"at least"* within the text.

28. The plan is further supported by the Joint Statement of Co-operation (January 2017) which states *"at present there is no declared unmet need in the HMA but it is recognised that the ability of each authority to meet its own OAN will vary".*

Currently both Leicester City Council and Oadby & Wigston Borough Council cannot meet their own need and will be dependent on authorities such as Melton Borough Council to accommodate this demand. Accordingly, retaining the requirement of 245 dwellings per annum demonstrates that it robustly addresses the duty to co-operate as detailed in paragraphs 178 to 181 of the NPPF.

29. The rationale behind Policy SS2 the distribution of housing throughout the Borough with approximately 65% of housing concentrated in Melton Mowbray is entirely logical. This policy facilitates the delivery of necessary infrastructure through larger scale developments in Melton Mowbray whilst recognising the importance of supporting a prosperous rural economy, as detailed at paragraph 28 of the NPPF, enabling key rural settlements throughout the Borough to remain sustainable. Further, it recognises the positive role of Service Centres, Rural Hubs and other smaller settlements in contributing to the delivery of housing numbers. The inclusion of the word “approximately” gives the policy added flexibility and potentially facilitates the delivery of additional housing within the Melton NSN where the proposed allocation currently falls short of site capacity of 2200 dwellings.

30. By the removal of prescribed numbers for small scale development the distribution of housing throughout the lower tiers of the settlement hierarchy now has the flexibility to enable sustainable sites to be brought forward on an opportunity basis in order to maximise the delivery of housing across the Borough.

Policy SS3 – Sustainable Communities (unallocated sites)

31. The changes to Policy SS3 relating to the delivery of windfall sites are welcomed as the policy is seen to both meet the guidance set out in paragraph 48 of the NPPF and, whilst the preamble makes reference to housing numbers, now has the flexibility to improve the delivery of increased housing numbers necessary to support the sustainability of settlements across the Borough.

Focused Change 2

Policy SS5 – Melton Mowbray North Sustainable Neighbourhood

Housing

32. The proposed allocation of the Melton Mowbray North Sustainable Neighbourhood, including LCC owned land at Sysonby Farm, is strongly supported. Further, the site is available being controlled by developers or being actively promoted by willing landowners, suitable as demonstrated by technical reports supported by the Sustainability Appraisal and deliverable. Further, it is capable of making a significant contribution to the infrastructure needs of the

town. The key deliverables other than housing numbers are seen as desirable but should be brought forward in response to evidence base and/or commercial demand.

33. Whilst the allocation is strongly supported attention is drawn to the ability of the overall allocation to deliver significantly higher numbers than the 1700 currently proposed. Accordingly, it is regrettable that the Focused Change fails to recognise the true capacity of the NSN (c.2200 dwellings) as this constrains the Borough's ability to both meet its OAN by restricting opportunities for making up shortfalls elsewhere in the Borough and wider HMA and secure the delivery of vital infrastructure by restricting the potential funding available.

34. The reduction in the level of affordable housing which is supported by the Revised Local Plan Community Infrastructure Levy Study (Cushman and Wakefield – May 2017) is welcomed. Whilst, at this stage there is nothing to indicate 15% affordable isn't achievable it is considered that the words *"subject to viability"* should be retained within the policy to ensure flexibility in the event that circumstances change and the 15% requirement cannot be met.

35. It is essential to adopt a flexible approach to master planning of the Melton Mowbray NSN in order to expedite delivery. Within this process there is a need for landowners/ developers to commit to the location of uses and secure the line of the link road. Beyond that each should have the flexibility to bring forward development at a time appropriate to them within the context of the plan. In particular, the land between Nottingham Road and Scalford Road (partly in LCC ownership) has the ability to be brought forward, as a standalone site, at an early date. This approach will support the delivery of housing numbers in the early years of the plan and secure infrastructure vital to the wider community and avoid the potential for housing delivery becoming dependant on the delivery of other sites within the Borough.

Transport

36. In addition to the changes detailed it is proposed that Policy t1A should also be revised to include a commitment, in so far as it is practical, to aligning the route of the Melton Mowbray Distributor Road to maximise housing delivery from the site and protect the housing numbers that underpin the Local Plan, and providing specific access points into development parcels to ensure that they are well accessed and that an economically viable development can be delivered on a phased basis.

Focused Change 4

Policy C1(A) – Housing Allocations

37. The policy needs the flexibility for further unallocated sites to be brought forward to support overall housing delivery in Melton Mowbray and other settlements.

Policy C1(B) – Reserve Sites

38. The proposal to consider the allocation of Reserve Sites appears consistent with the provisions of the NPPG. However, in the development of this Policy consideration of the potential to increase the level and speed of housing delivery within the Sustainable Neighbourhoods should also be taken into account and the benefits of increasing numbers in the delivery of community infrastructure weighed against the constraints identified in respect of the reserved sites proposed.

Focused Change 5

Policy C2 – Housing Mix

39. The flexible approach to Housing Mix is broadly welcomed but needs to have regard to both current and changing market conditions and viability. The provisions within the policy that take account of the needs of the ageing population and people with specific accommodation requirements are also supported.

High Quality Design

40. The need for high quality housing that meets National Space Standards and complies with the Building Regulations 2015 is supported but the policy should be clear that these requirements should be met at the detailed planning stage not the outline stage.

Focused Change 6

Policy C4 – Affordable Housing Provision

41. The reduction in the level of Affordable Housing from 37% to 15% within the Melton NSN is supported.

Focused Change 8

Economy

42. The proposed changes to Section 6.5 are supported. However, it is considered that it is worthwhile reiterating earlier representations, namely

"Policies EC1 and EC2 provide the necessary platform to deliver future economic growth and are therefore welcomed. However, the plan needs to be sufficiently flexible to enable further sites to be brought forward to replace existing employment areas that become unviable or unfit for purpose as detailed in Policy EC3.

Policy EC5 whilst supportive of maintaining a vibrant town centre is regarded as placing unnecessary restrictions on the retail development of the edge of the centre as the scale would be incompatible with the existing town centre but nevertheless would have the effect of attracting additional business and potential footfall to the town creating further potential economic benefits."

Focused Change 11

Melton Mowbray Transport Strategy – Policy IN1

43. The commitment to the Melton Mowbray Distributor Road in Policy IN1 is welcomed. However, in relation to the northern section of the route from Nottingham Road to Melton Spinney Road the supporting text needs to include a commitment, in so far as it is practical, to aligning the line of the road to maximise housing delivery from the site and protect the housing numbers that underpin the Local Plan. Further the design of the road needs to achieve a balance between providing traffic relief to the town and the need to deliver well accessed viable development opportunities within the NSN.

44. It is also important that a flexible approach is taken to the delivery of the distributor road in order that housing delivery, particularly in the early years of the plan, is not constrained.

Waste Management

FC10, FC12 and Community Infrastructure Levy consultation

45. Similarly to LCC being the local Highways Authority responsible for the delivery of the Melton Mowbray Eastern Distributor Road, equally, LCC as Waste Disposal Authority is responsible for the delivery of the municipal public household waste and recycling facility (HWRC) / and provision of waste disposal or treatment points which may include waste treatment stations. Therefore, there needs to be a clear and transparent mechanism whereby sufficient CIL levy funds collected by the Borough Council are re-distributed to LCC for the delivery of the HWRC (locally referred to as RHWS (recycling and household waste site) and transfer station. Additionally, to facilitate work planning and scheduling, the CIL funding collected should be provided in a timely manner and be proportionate to the project and properly audited.

46. In respect to any further comments about the proposed CIL schedule, the need for:
    - a periodic review mechanism for re-setting viability of infrastructure projects;
    - regular dialogue between the borough council and LCC to ensure maintenance of shared aims and objectives; and
    - care to be taken in considering which infrastructure projects should be included on the 123 list.

47. There is a concern about the lack of reference to the installation of electric vehicle infrastructure for existing development. Paragraph 7.17.1 highlights how existing dwellings may have their energy efficiency increased through retrofitting

measures and Policy EN9 provides for charging points for electric cars for new developments, but there is no specific reference to how existing developments and housing stock will be future proofed against a model shift from diesel/petrol vehicles to electric vehicles.

48. In July this year, the government signalled its intent to ban the sale of all diesel and petrol cars and vans from 2040 as part of its Clean Air Plan which aims to reduce the effect of poor air quality on people's health. Provision of and accessibility to appropriate electric vehicle infrastructure therefore, would be necessary to enable Melton residents and businesses to contribute to the aims of the government, climate change mitigation and the Carbon Reduction Target for Leicestershire to reduce emissions by 23% between 2005 and 2020.

Community Infrastructure Levy

FC10, FC12 and Community Infrastructure Levy consultation

49. The Proposed Preliminary Draft Charging Schedule (PDCS) refers to certain areas (or zones) within the Melton local authority area but there is no clear map that accompanies the PDCS that defines these areas. One should be provided. No reference is made in the PDCS to the built-up area of Melton Mowbray. It would be helpful to state explicitly the status of the Melton Mowbray built up area and confirm that there is a £0/m^2 for residential development within that area. Also, confirmation that the rates for Commercial development apply to the whole local authority area.

50. If it is correct that the CIL rate within the Melton Mowbray built up area is £0, then clarification is required as to whether planning obligation contributions will be sought and allowed from developments within the Melton Mowbray built up area towards the Melton Mowbray Eastern Distributor Road (MMEDR) without falling foul of it being on the 123 list.

51. In view of the inclusion of the MMEDR on the draft 123 list then as the Borough Council is the charging authority for the CIL levy, there needs to be a clear and transparent mechanism whereby sufficient CIL levy funds collected by the Borough Council are re-distributed to the County Council as local highways authority responsible for the delivery and implementation of the MMEDR. To ensure the delivery of this major piece of transport infrastructure then the CIL funding which is collected should be provided in a timely manner and properly audited. Furthermore the MMEDR as a major infrastructure project would need to be prioritised to ensure the implementation of the scheme is delivered in a timely manner.

52. The Borough Council propose that the draft 123 list is to be updated on a regular basis by the Borough Council taking account of the Infrastructure Delivery Plan. There may be a possible risk that the identified infrastructure may be unable to be met depending on any funding gaps and future growth could be stalled. Therefore setting charges and particularly priorities will require clear and shared objectives between the two Councils as to what infrastructure and services will be required.

53. The amount of CIL revenue which could be collected after adoption of a charging schedule is estimated to be in the region of £14 million (minus administration costs, parish and neighbourhood plan contributions) which represents about 14%-15% of the funding required on the 123 list, and significantly less than identified in the MBC Infrastructure Delivery Plan (i.e. over £215m on those items that have been costed). It would be helpful to know how and when (given the anticipated build out rates) that CIL contribution will be applied to the items on the Regulation 123 list.

54. Viability is likely to change and be influenced over time by cyclical economic circumstances. Therefore a review mechanism for re-setting viability and thus the charging levy should be considered. This could assist in making sure the CIL charge offers dynamic funding for the provision and delivery of the infrastructure.

55. The continued use of S106 planning obligations is still currently considered an important source of infrastructure funding and is especially advantageous to use planning obligations for larger developments e.g. Sustainable Urban Extensions (SUEs) which in themselves would trigger the requirements for planning obligations such as on site primary school provision. In those circumstances then care should be taken in considering which infrastructure projects should be included on the 123 list because once a project is include on the list it cannot obtain S106 contributions under the ‘double dipping’ rule. Regular dialogue between the Borough Council and the County Council is required about future infrastructure items and whether they are included on the 123 list.

Leicestershire County Council

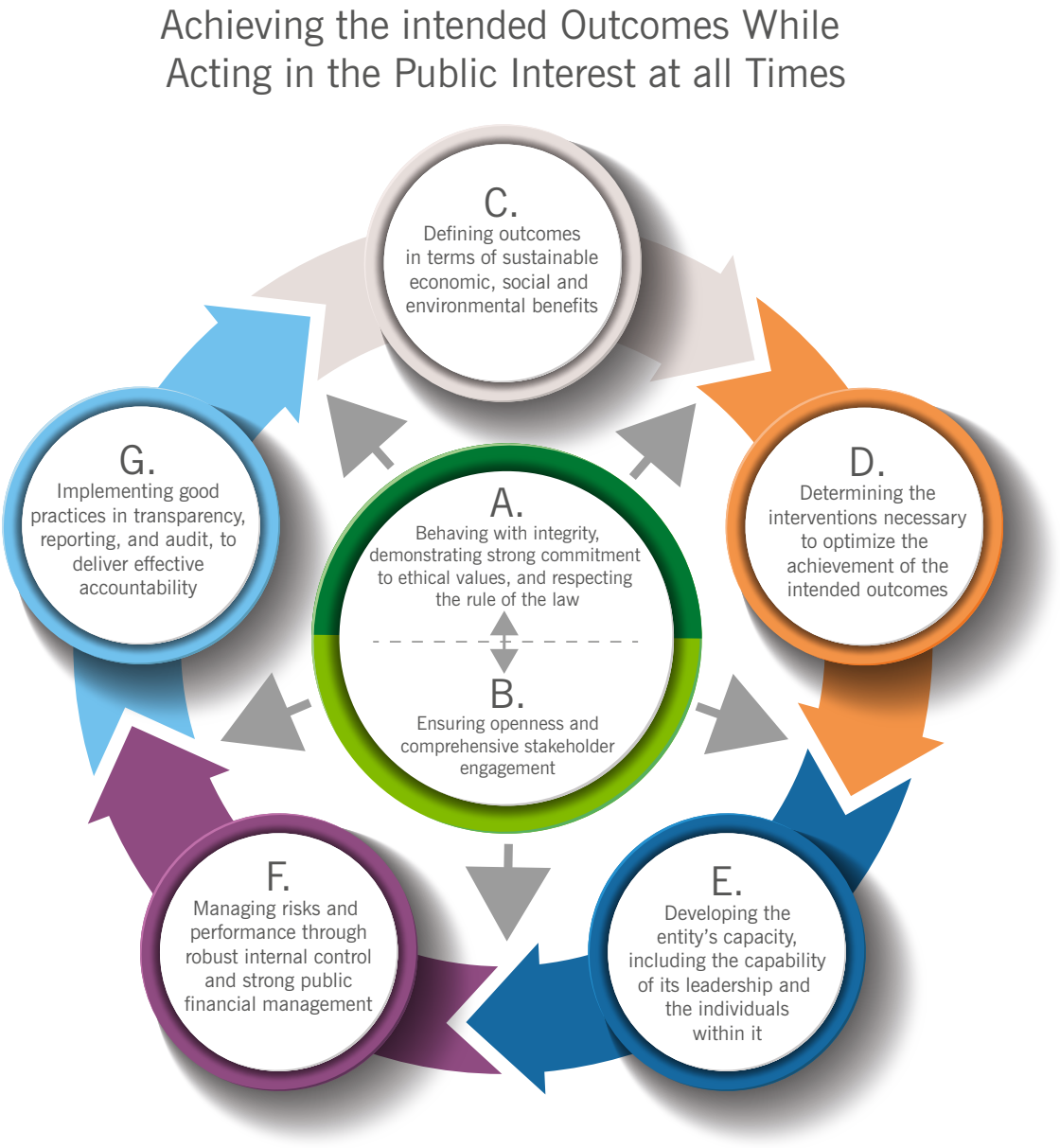
Local code of corporate governance

June 2017

Lead Officer:	Director of Law and Governance
Department:	Chief Executive's
E-mail Address:	Lauren.Haslam@leics.gov.uk
Created:	May 2017
Review Arrangements:	Annually
Next Review Date:	January 2018

1. INTRODUCTION

1.1 In 2014, the Chartered Institute of Public Finance and Accountancy (CIPFA) and the International Federation of Accountants (IFAC) collaborated to produce The International Framework: Good Governance in the Public Sector. The International Framework defines governance as comprising the arrangements put in place to ensure that intended outcomes for stakeholders are defined and achieved. It states that in order to deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity's objectives while acting in the public interest at all times. This implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders. The diagram below illustrates the core principles of good governance in the public sector and how they relate to each other: Principles A and B permeates implementation of principles C to G. It illustrates that good governance is dynamic, and that an entity as a whole should be committed to improving governance on a continuing basis through a process of positive outcomes for service users and other stakeholders.



1.2 In 2016, CIPFA in association with the Society of Local Authority Chief Executives (SOLACE) took the International Framework's core principles (and sub-principles) and interpreted them for a local government context. It revised and reissued its 'Delivering Good Governance in Local Government; Framework' (the Framework). The Framework sets the standard for local authority governance in the UK. The concept underpinning the Framework is to support local government in taking responsibility for developing and shaping an informed approach to governance, aimed at achieving the highest standards in a measured and proportionate way. The purpose of the Framework is to assist authorities individually in reviewing and accounting for their own unique approach, with the overall aim to ensure that:

- Resources are directed in accordance with agreed policy and according to priorities
- There is sound and inclusive decision making
- There is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities

1.3 The Framework must be applied to annual governance statements prepared for the financial year 2016/17 onwards.

2. LEICESTERSHIRE COUNTY COUNCIL'S APPROACH TO CORPORATE GOVERNANCE

2.1 In Leicestershire, good governance is about how the Council ensures that it is doing the right things, in the right way and for the benefit of the communities it serves.

2.2 Good governance will invariably lead to high standards of management, strong performance, the effective use of resources and good outcomes which in turn will lead to increased public trust.

2.3 Good governance flows from having shared values and culture. It requires having in place a framework of overarching strategic policies and objectives underpinned by robust systems, processes and structures for delivering these. It also enables the Council and the public to monitor whether the strategic policies and objectives have been delivered.

2.4 The County Council recognises that the delivery of its strategic policies and objectives cannot be done in isolation. It needs to engage with other statutory bodies and the voluntary and community sector as well as private companies commissioned to deliver services. As such the County Council has an interest in ensuring that these partners have in place good governance arrangements.

2.5 The Council is committed to the seven core principles of good practice contained in the CIPFA framework and will test its governance arrangements against this framework and report annually.

In order to confirm this, we test our governance arrangements by:

- **Developing and maintaining an up-to-date local code of governance, including arrangements for ensuring ongoing effectiveness**. Our Local Code has been written to reflect the Council's own structure, functions, and the governance arrangements in existence. It's comprised of the policies, procedures, behaviours, actions and values by which the Council is controlled and governed.
- **Reviewing existing governance arrangements.** The Council will monitor its governance arrangements for their effectiveness in practice and will review them on a continuing basis to ensure that they are up to date. This review will include an assessment of the effectiveness of the processes contained within the Local Code. This includes annual assessments such as:

  - Departments' and corporate reviews of assurance arrangements

- Head of Internal Audit Service (HoIAS) Annual Report including an opinion on the control environment
- Assurance statements by the Chief Financial Officer, Monitoring Officer and the HoIAS that they are complying with their professional requirements
- Annual review of the Constitution
- Scrutiny Annual Report
- External Audit Annual Letter
- The opinions of other review agencies and inspectorates, including governance issues via ad hoc cases / disciplinary issues, police investigations

- **Reporting publicly on compliance with our own code on an annual basis and on how we have monitored the effectiveness of our governance arrangements in the year and on planned changes.** Regulation 6(1)(a) of the Accounts and Audit Regulations 2015 requires the Council to conduct a review at least once in a year of the effectiveness of our systems of internal control and include a statement reporting on the review with our published statement of Accounts. This is known as the Annual Governance Statement. The Chief Executive and Leader of the Council certify the Annual Governance Statement to accompany the Annual Accounts which will:
  - assess how the Council has complied with our Local Code
  - provide an opinion on the effectiveness of the Council's governance arrangements
  - provide details of how continual improvement in the systems of governance will be achieved.

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

Rationale: Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions across all activities and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

Sub-principle	Examples of the Council's commitment to achieving good governance in practice is demonstrated below
Behaving with Integrity	• The Council's Constitution contains Codes of Conduct for both Members and Officers to ensure that high standards of conduct are maintained. • Members (new) receive training on the Code of Conduct. • There is a separate Members' Code of Conduct for Planning Matters. All Members serving on the Development Control and Regulatory Board are required to have attended the training on the Code. • Registers of Members' interests and records of gifts and hospitality are published on the Council's website. • Members' Declarations of Disclosable Pecuniary Interests and Personal Interests that might lead to bias are recorded in minutes of meetings which are available on the Council's website. Minutes show declarations of interest were sought and appropriate declarations made. The Members' Register of Interests including gifts and hospitality is made available for public inspection and published on the Council's website. • The Corporate Governance Committee supports and promotes the maintenance of high standards of conduct by Members and has agreed criteria for assessing complaints against Members, which is published on the Council's website. • The Employee's (Officer's) Code of Conduct sets out standards of behavior and conduct that the Council expects of its employees. This includes including confidentiality, data protection, freedom of information, and fraud prevention. These areas are subject to mandatory training via e- learning. Reference is made to the Code in the Manager's Induction Checklist. • An employee policy is in place for acceptance of gifts and hospitality. The Monitoring Officer reviews the registers of interests and gifts and hospitality on an annual basis. Regular items appear on the Council's intranet and in the Managers' Digest reminding staff of the Register of Interests, Register of Gifts and Hospitality and the Whistleblowing Procedure and arrangements are in place to enable staff to raise issues of concern and report wrongdoing.

	• The Council has a 'Behaviour in the Workplace' Policy and Procedure. • We have arrangements in place to enable staff to raise issues of concern and report wrongdoing. • Standard decision making reporting format is in place to ensure that all those responsible for taking decisions have the necessary information on which to do so. Key decisions are supported by various different assessments e.g. EHRIA, HR, Financial etc. depending on the decision. • A formal complaints policy which is publicly accessible is in place and an annual report on complaints is produced for all areas and is published. • The Council has in place an Anti-Fraud and Corruption Policy Statement and Strategy and implemented new policies and procedures to mitigate the risks of bribery and corruption and money-laundering in order to conform with requirements of the CIPFA Code of Practice – 'Managing the Risk of Fraud and Corruption' (2014) which are publicised across the organisation. A mandatory Fraud Awareness e-learning module exists that has recently been revised to ensure it remains fit-for-purpose. • Senior Officers and Elected Members (Corporate Governance Committee) receive regular fraud updates as part of a regular risk management report. • The Council's Organisational Values are available on CIS. (Note – the Organisational Values are currently under review). • Regular Chief Executive's newsletter 'News for All' contains information for staff and Corporate Management Team Road shows throughout the county (for public) and County Hall (for staff).
Demonstrating strong commitment to ethical values	• The Member Code of Conduct includes Principles and rules of behaviour which cover, Integrity; Selflessness; Objectivity; Accountability; Openness; Honesty and Leadership. Members, in signing the Code, agree to comply with these principles. • Employees Code of Conduct and Part 5B of the Constitution refers to the key principles in public life and standards. • The promotion of high standards of conduct is one of the key areas of responsibility for the Corporate Governance Committee • The Council's Constitution sets out delegations of the executive, committees and senior officers, and the decision making process to be applied. It also emphasises that the Council will act within the law. • When procuring goods or services, the Council uses a selection questionnaire which includes questions on a potential supplier's ethical behaviour. • A Whistleblowing policy/procedure is published on the Council's website for suppliers and is also included in the Conditions of Contract. The Council also subscribers on a voluntary basis to Public Concern at Work which is the lead organisation for whistleblowing issues.

Respecting the rule of law	• The Council's Political Structure and Roles are available on the Council's website and includes membership details and functions of all major committees as well as roles and responsibilities of Cabinet and other members. • The Constitution identifies the Director of Law and Governance as the Council's Monitoring Officer and sets out the role of the Monitoring Officer. The role, with membership of the Corporate Management Team, is to ensure that the Council respects the rules of law. • The Council has agreed a Fraud and Anti-Corruption Policy (including Anti-Money Laundering, Anti-Bribery, and Whistleblowing Policies). The Officer Code of Conduct requires Officers to have due regard the Policy when procuring goods and services. • Appropriate Officers monitor reports to ensure propriety of decision making and that legal advice is included where necessary and appropriate. • All members and Chief Officers are required to complete the 'Related Party Disclosure Form '. • The Council has appointed a Panel of Independent Persons and engaged external consultants to provide training. The role of the Independent Members also includes acting as the Independent Person when a recommendation is made to dismiss a Statutory Officer. • The Council maintains records of legal advice provided by officers to ensure it respects the rule of law.

Principle B: Ensuring openness and comprehensive stakeholder engagement

Rationale: Local government is run for the public good; Organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders

Sub-principle	Examples of the Council's commitment to achieving good governance in practice is demonstrated below
Openness	• Adoption of a clear and consistent reporting format in relation to committee reports. • Agendas, reports (and minutes) are also published on the council's website in advance. Meetings are open to the public except in relation to exempt items. • A 'forward plan' of items is in place and dates for submitting, publishing and distributing timely reports are set and adhered to. • Records of decisions and supporting materials are available in the Decisions Enquiry System which can be found on the Council's website • Regular meetings are held with relevant Lead Members to brief them on developments in their service area and of issues of concern. • A detailed Annual Performance Report on progress and outcomes against the Strategic Plan is published and scrutinised. • The Scrutiny Commission/Committees submit an annual report to the Council on the work undertaken. Reports to and decisions taken by the Council, Cabinet, Scrutiny Bodies and the Development Control and Regulatory Board are available on the Council's website. • The Council uses social media to reach a growing number of residents and stakeholders. It also publishes a council newsletter and has an active website. • An annual Council Tax leaflet is published on the Council's website showing how resources are deployed and the Council's accounts are scrutinised and published. • Freedom of Information practices are in place to publish responses to requests. • Important data is published in accordance with the Local Government Transparency Code (2014), as are quarterly performance dashboards. • The Council has guidance available for applicants wishing to make use of the Community Right to Challenge to express an interest in running local authority services.

Engaging comprehensively with institutional stakeholders	• A number of priority partnerships have been identified and are supported to ensure that outcomes are achieved efficiently and effectively. • The Council has in place wide stakeholder lists for engagement purposes and is represented on a wide variety of bodies with relevant stakeholders. • A variety of arrangements are in place to engage with and involve other stakeholders including the business sector, health agencies , the police, district councils, rural communities and voluntary and community sector.
Engaging stakeholders effectively, including individual citizens and service users	• Engaging with customers before planning and commissioning services is encouraged by the Council's Communications, Consultation and Engagement group. A Consultation and Engagement team is in place to provide support on these matters across the Council • A wide range of techniques are used for dialogue with the community including a major budget/priorities consultation exercise, community based surveys, customer service feedback arrangements and individual service user groups. • Equality and Human Rights Impact Assessment (EHRIA) practices enable the Council to meet its statutory obligations, aid the Council in understanding issues of interest to the public and help the Council to shape service delivery. The Council supports an Equalities Challenge Group to enable engagement with and challenge from a wide range of communities to inform service reviews. • Quarterly residents surveys are undertaken to gauge satisfaction on key areas. Regular media and web monitoring is in place to pick up informal feedback. • The Council has agreed a Consultation and Engagement Strategy and all reports to member bodies must reflect the outcome of any consultation undertaken. • The Council has adopted a set of Consultation Principles that provide a clear framework for residents, service users and staff with regard to public consultations. • A corporate task group, bringing together expertise in communication, engagement, research and survey design, equalities issues and legal issues, provides support and guidance and co-ordinates resources to ensure robust public consultations. • Results of major consultations are published in bespoke reports, which are available via the Council's website.

Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefit

Rationale: The long-term nature and impact of many of organisation's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available

Sub-principle	Examples of the Council's commitment to achieving good governance in practice is demonstrated below
Defining Outcomes	• The Council's overall vision is reflected in the Council's Strategic Plan (to 2018) incorporating it's Medium Term Financial Strategy, Commissioning Strategy, Communities Strategy and Transformation Programme, which are then underpinned supported by specific departmental service/ business plans and strategies. The Strategic Plan is being reviewed to include a Single Outcomes Framework and this is expected to be approved in 2017. • A separate Communities Strategy sets out the Council's approach to supporting communities and underpins working with the voluntary and community sector. • The Strategies set out defined outcomes with supporting performance measures. • Performance and progress against the strategies is published in the Council's Annual Report and Statement of Accounts • The Council communicates with, and takes account of feedback to review outcomes so they reflect progress and wider changes. • Departmental Management Teams and Cabinet Lead Members receive regular reports on the status of performance indicators and outcomes and have a process in place to address poor performance. • A variety of engagement, consultation and communication channels are in place to ensure that service users are aware of the financial and policy context and to help manage expectations. An annual budget media briefing and consultation on the budget is undertaken.

Sustainable economic, social and environmental benefits	• A four year capital programme is derived primarily from the Council's Strategic Plan and the Council's Capital Strategy and aims to ensure sustainable benefits. Investment in Land and Buildings is set out in the Corporate Asset Management Plan. Investment in infrastructure is included in the Infrastructure Plan and the Local Transport Plan, which provides the long - term strategy within which the Council manages and maintains its transport network. • Environment and Equalities Strategies are in place as well as an Enabling Growth Plan which sets out how the Council will support growth of the economy. All of the Council's plans seek to ensure an effective balance of economic, social and environmental benefits • Equality and Human Rights impact assessments and monitoring is in place to ensure an overview of fair access to services. • Social return on investment analysis and ensuring social value in contracts is an important element of the Council's approach. • The Council has agreed a Consultation and Engagement Strategy and all reports to member bodies must reflect the outcome of any consultation undertaken. Officers' meets regularly to ensure that consultations are undertaken on key changes to service provision and that such consultations are coordinated and comply with the Policy and existing best practice. Reports on new policy or changes to existing policies need to reflect how the policy will impact on different sectors in the community and local areas affected.

Principle D - Determining the interventions necessary to optimise the achievement of the intended outcomes

Rationale: The organisation achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that the organisation has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised

Sub-principle	Examples of the Council's commitment to achieving good governance in practice is demonstrated below
Determining and Planning interventions	• A robust medium term financial planning and service planning process is in place. • Well-established governance of decision making is in place for making service decisions through DMTs, Project Boards and the Council's Transformation and decisions are made based on an evidence and business case basis using defined tools and templates. • A new Strategic Commissioning and contracting approach is being embedded into the organisation including commissioning strategies and a clear commissioning cycle involving service review, evidence and consultation. • The range of decision making information provided per option includes service user, staff and other stakeholder impacts, completion of Equality Assessments, consultation output and analysis of resource implications. • A new Business Intelligence Service is in place to provide insight, data analysis, forecasting and modelling support. • Feedback and complaints mechanisms/report in place to allow quality issues to be identified.

Optimising achievement of intended outcomes	• The Council has a good record of developing and delivering outcomes as well as managing within agreed budget parameters. • The Council's performance management processes ensure comparative benchmarking of outcomes against similar areas to feed into service planning and budgeting. • The Council's commitment to social value is embedded in the corporate Commissioning and Procurement Strategy. This commitment is also reflected in the guidance provided to staff undertaking procurement activity in the Council's Commissioning Toolkit. • The Council's Contract Procedure Rules requires that when procuring a service due regard is paid as to how the contract will improve the economic, social and environmental well-being of Leicestershire as required by the Public Service (Social Value) Act 2012. Achievement of social value is monitored regularly.

Principle E. Developing the entity's capacity including the capability of its leadership and the individuals within it

Rationale: Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind-set, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

Sub-principle	Examples of the Council's commitment to achieving good governance in practice is demonstrated below
Developing the entity's capacity	• The Council's People Strategy and Delivery Plan is in place. The Employment Committee receives regular reports, as appropriate, on elements of the People Strategy and the associated action plan. • A regular Employee Survey helps identify staff and manager capacity and support needs. • The Council monitors a variety of metrics including staff caseloads and customer activity to ensure that it has sufficient capacity in place at the right time. • Support arrangements are in place to allow deployment of interim capacity where required.

Developing the capability of the entity's leadership and other individuals	• The Council provides learning and development opportunities to elected councillors in accordance with its agreed Member Learning and Development Strategy. Compulsory training is provided to relevant members on Planning and Regulatory Matters and on Pensions. • Regular briefings are provided to members on the key issues and challenges facing the Council. • Council Learning and Development plans are informed by the MTFS; Strategic Vision; Departmental key aims; service plans; and individual Performance and Development Reviews (PDR). • Induction training is provided for all new staff appropriate to their role and responsibilities, with access to on-going Learning and Development activities to enhance skills. • An established competency framework is in place that yields behaviours to support the direction of the Authority, with all middle and senior managers completing a 'Leading for High Performance' programme. • There is a corporate Performance and Development Review (PDR) system in place to appraise the performance of all staff and a Learning Management System has been implemented. • The Council encourages and supports a diverse workforce and variety of workplace support groups, such that it has been recognised as a sector leader by Stonewall. • The Council's Equalities Board actively monitors and supports a diverse workforce and recruitment processes have been strengthened to ensure fair representation of different groups. • The Council has run a range of support programmes to ensure effective representation of women in senior management.

Principle F. Managing risks and performance through robust internal control and strong public financial management

Rationale: Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities. A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery, and accountability. It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

Sub-principle	Examples of the Council's commitment to achieving good governance in practice is demonstrated below
Managing Risks	• The Council has a Risk Management Policy and Strategy with regular updates and reporting which is reviewed annually. Regular progress reports are provided on Counter Fraud Initiatives, Business Continuity and other related matters. • Corporate Governance Committee actively engages and conducts detailed scrutiny of the Corporate Risk Register and emerging risks. Presentations on specific risks are provided at each meeting. • Departmental Management Teams take full ownership of risks within their area and agree mitigating actions with regular monitoring and reporting processes in place.
Managing Performance	• The Council has corporate performance management and reporting processes in place with quarterly monitoring by Scrutiny Committees. • A regular programme of reporting on progress against outcomes, metrics and targets including benchmarking is in place at senior level. • Regular meetings between Chief Officers and their Lead members focus on key developments and risks going forward.

Robust in Internal Control	• The adequacy and effectiveness of the Council's internal control environment is tested throughout the year as a result of the approval and implementation of a risk based Internal Audit Annual Plan and by undertaking audits. • The Council participates in a range of external audits, inspections and accreditations to ensure it remains accountable for the quality of services its delivers as well to support continuous improvement of services. • An annual report is produced by Internal Audit which provides an opinion on the council's control environment, and a self-assessment of its arrangements against the public sector internal audit standards and CIPFA's guide to the role of the Head of Internal Audit. • There is an Anti-Fraud and Corruption Strategy which is subject to regular review and is approved by the Corporate Governance Committee. An annual fraud report summaries anti-fraud activity in the year. • The Annual Governance Statement (AGS) is subject to review by the Corporate Governance Committee.
Managing Data	• The Council has a Corporate Data Protection Policy and well established risk assessment processes. • New mandatory training for managers has been implemented on data protection and information management • A partnership information sharing protocol, and information sharing agreements are put in place where required • Policies that govern the use of data, and corporate data standards are in place. • A variety of groups and monitoring are in place to ensure effective information management practice.
Strong Public Financial Management	• Financial procedures are documented in the Financial Regulations. • Monthly budget monitoring reports on the MTFS (capital and revenue) are provided to senior management and Member committees, Cabinet and Scrutiny. The reports provide an overall update, reasons for significant variances, actions being taken and any ongoing impact. • The Councils accounts show a strong track record of operating within its resources while allocating investment towards priority areas.

Principle G. Implementing good practices in transparency reporting and audit to deliver effective accountability

Rationale: Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

Sub-principle	Examples of the Council's commitment to achieving good governance in practice is demonstrated below
Implementing good practices in transparency and reporting	• Agendas, reports and minutes are published on the council's website. • Committee reports and debates are made available online to the public. • Regular press releases and briefings with good press coverage. • An Annual report is produced and also user friendly reports such as local account and report for young people. • Council newsletter produced for all residents • The Annual Financial Statements are compiled, published to timetable and included on the council's website. • The Annual Governance Statement (AGS) is prepared in accordance with CIPFA guidance

Assurance and effective accountability	• The AGS sets out the council's governance framework and the results of the annual review of the effectiveness of the council's arrangements. The AGS includes areas for improvement. • An effective internal audit function is resourced and maintained. The Internal Audit Service has direct access to members and provides assurance on governance arrangements via an annual report containing an opinion on the council's internal control arrangements. • There is compliance with CIPFA Statements on the Role of the Chief Financial Officer and the Role of the Head of Internal Audit. • There is an Internal Audit Charter (revised November 2016) which sets out the purpose, authority and responsibility for the internal audit function and clearly defines Members and officers' roles, responsibilities and relationship. • The Internal Audit Service abides with the principles of the Public Sector Internal Audit Standards but some development is required before full conformance can be claimed. • The Internal Audit Service will be subject to an independent external quality assessment during 2017-18. • External Audit provides an annual opinion on the Council's financial statements and arrangements. • The Council engages in peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.

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