



Meeting: **Adults and Communities Overview and Scrutiny Committee**

Date/Time: **Monday, 2 September 2019 at 2.00 pm**

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

Contact: **Mrs L. Walton (0116 305 2583)**

Email: **lauren.walton@leics.gov.uk**

Membership

Mr. T. J. Richardson CC (Chairman)

Dr. P. Bremner CC Mr. W. Liquorish JP CC
Ms. L. Broadley CC Mr. J. Miah CC
Mr. B. Crooks CC Mr T. Parton CC
Mrs. H. J. Fryer CC Mrs. M. Wright CC

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– Notices will be on display at the meeting explaining the arrangements.**

AGENDA

<u>Item</u>	<u>Report by</u>
1. Minutes of the meeting held on 10 June 2019	(Pages 5 - 12)
2. Question Time.	
3. Questions asked by members under Standing Order 7(3) and 7(5).	
4. To advise of any other items which the Chairman has decided to take as urgent elsewhere on the agenda.	
5. Declarations of interest in respect of items on the agenda.	



6. Declarations of the Party Whip in accordance with Overview and Scrutiny Procedure Rule 16.
7. Presentation of Petitions under Standing Order 36.
8. Domiciliary Care Service Post November 2020. Director of Adults and Communities (Pages 13 - 18)
9. Carers' Support Update. Director of Children and Family Services, Director of Adults and Communities, and Director of Public Health (Pages 19 - 30)
10. Record Office Business Case. Director of Adults and Communities (Pages 31 - 36)
11. Next Steps in Library Provision. Director of Adults and Communities (Pages 37 - 46)
12. Deprivation of Liberty Protection Safeguards. Director of Adults and Communities (Pages 47 - 52)
13. Annual Report of the Leicestershire and Rutland Safeguarding Adults Board 2018/19. Independent Chair of the Leicestershire and Rutland Local Safeguarding Adults Board (Pages 53 - 78)
14. Annual Complaints and Compliments Report. Director of Adults and Communities (Pages 79 - 100)
15. April - June 2019 Performance Report. Director of Adults and Communities and Chief Executive (Pages 101 - 114)
16. Date of next meeting.

The next meeting of the Committee is scheduled to take place on 11 November 2019 at 2.00pm.

17. Any other items which the Chairman has decided to take as urgent.

QUESTIONING BY MEMBERS OF OVERVIEW AND SCRUTINY

The ability to ask good, pertinent questions lies at the heart of successful and effective scrutiny. To support members with this, a range of resources, including guides to questioning, are available via the Centre for Public Scrutiny website www.cfps.org.uk.

The following questions have been agreed by Scrutiny members as a good starting point for developing questions:-

- Who was consulted and what were they consulted on? What is the process for and quality of the consultation?
- How have the voices of local people and frontline staff been heard?
- What does success look like?
- What is the history of the service and what will be different this time?
- What happens once the money is spent?
- If the service model is changing, has the previous service model been evaluated?
- What evaluation arrangements are in place – will there be an annual review?

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Minutes of a meeting of the Adults and Communities Overview and Scrutiny Committee held at County Hall, Glenfield on Monday, 10 June 2019.

PRESENT

Mr. B. Crooks CC	Mr T. Parton CC
Mrs. H. J. Fryer CC	Mr. T. J. Richardson CC
Mr. T. Gillard CC	Mr. S. D. Sheahan CC
Mr. W. Liquorish JP CC	Mrs. M. Wright CC

In attendance

Mr. R. Blunt CC – Lead Member for Adults and Communities
 Mrs. C. M. Radford CC – Cabinet Support Member
 Dr. T. Eynon CC
 Micheal Smith – Healthwatch Leicester and Leicestershire

1. Appointment of Chairman.

RESOLVED:

That the appointment of Mr. T. Richardson CC as the Chairman of the Adults and Communities Overview and Scrutiny Committee for the period ending with the Annual Meeting of the County Council in 2020 be noted.

Mr. T. Richardson CC – in the Chair

2. Election of Deputy Chairman.

RESOLVED:

That Mr. W. Liquorish CC be elected Deputy Chairman of the Adults and Communities Overview and Scrutiny Committee for the period ending with the Annual Meeting of the County Council in 2020.

3. Minutes.

The minutes of the meeting held on 11 March 2019 were taken as read, confirmed and signed.

4. Question Time.

The Chief Executive reported that no questions had been received under Standing Order 35.

5. Questions asked by members under Standing Order 7(3) and 7(5).

The Chairman reported that questions had been received from Dr. T. Eynon CC under Standing Order 7(3) and 7(5). As the questions related to item for discussion elsewhere on the agenda (Minute 11 refers), he proposed to deal with the questions under this item.

6. Urgent Items.

There were no urgent items for consideration.

7. Declarations of interest.

The Chairman invited members who wished to do so to declare any interest in respect of items on the agenda for the meeting.

No declarations were made.

8. Declarations of the Party Whip in accordance with Overview and Scrutiny Procedure Rule 16.

There were no declarations of the party whip.

9. Presentation of Petitions under Standing Order 36.

The Chief Executive reported that no petitions had been received under Standing Order 36.

10. Adult Social Care Target Operating Model.

The Committee considered a report of the Director of Adults and Communities which provided an update on the progress of developing the Adult Social Care Target Operating Model (TOM). It was noted that the programme was currently on track with the programme plan and original objectives. A copy of the report marked 'Agenda Item 10' is filed with these minutes.

The Committee's attention was drawn to the key activities which had taken place during the design phase, as detailed in the report, in particular the testing of initial ideas and the preliminary results. It was the intention that these would be signed off in the coming months to be implemented across the county. Each service was being tested in a locality and would ultimately be rolled out to each area of Leicestershire.

Arising from the discussion, the following comments were made:

- i) The principles had been trialled and implemented in a number of other local authorities throughout the country. Within Leicestershire, improvements had already begun to be realised. One of the areas being looked at was the Customer Service Centre (CSC), in terms of how it operated and how to improve the time it took for work to be passed through the CSC to a locality. When the work had commenced, it had been taking eight days for the initial work in the CSC to take place and it was now taking two days.
- ii) In terms of localities in the reablement offer, this had begun to be tested in Hinckley. It had been found that the productivity of the reablement service could be improved by changing some of the decision making, by reviewing cases on a daily rather than weekly basis. This would enable greater capacity in the service, such that it had already been possible to take on all the work of the independent sector in the Hinckley area and bring it back in-house to the HART service. It was anticipated that this would also take place in the Wigston area.

- iii) It was essential that there was service user involvement in the development of the TOM. However, as it was only currently at the design phase, it was important to get the views of people using the service without giving them false expectations. A process was used with staff to dip test their views and this was now beginning to be rolled out to service users. It was easier to check satisfaction levels in areas such as the reablement service due to its short term nature, but when working with people with learning difficulties, it was a more difficult process due to it being more long term. Significant improvements had been made with the matching process and the department had consulted with groups such as the Learning Disability Partnership Board.
- iv) The report highlighted that should the programme not deliver a recurrent annualised benefit greater than 1.5 times the one-off fee, the strategic development partner's fee would be reduced until the ratio was satisfied. It was hoped that this would not have a detrimental impact on the level of service and the work completed. As part of the overall governance of the programme, the Benefit Monitoring Board met on a monthly basis to consider what had been achieved and to measure individual service user outcomes and the overall benefit to the service area. Assurance was given that no invoices were signed off by the department until it was satisfied that the target improvements had been achieved. In relation to the 1.5 times benefit, this related to the fee being contingent upon the delivery of the financial benefits.
- v) In response to a query, it was stated that the design phase did not link to national legislation due to the short timescale of this phase. The department was working towards what it felt was national best practice and it was anticipated that what would be undertaken was consistent with national policy. However, if there were any significant national changes, it would be necessary to consider renegotiating the contract.
- vi) The Committee agreed with the statement that the approach being adopted was not about cutting services, but about ensuring that the best outcome for the service user was at the heart of any changes. It was felt that improvements for staff should also be included in the report. Regular updates on progress would be provided to the Committee.

RESOLVED:

- a) That the report be noted;
- b) That the Committee receives regular updates on progress with the Target Operating Model.

11. North West Leicestershire Site Development.

The Committee considered a report of the Director of Adults and Communities which provided a summary of the progress made to prepare for the redevelopment of short breaks services and residential services in North West Leicestershire, including the relocation of existing residents and tenants and the design principles and re-build programme. A copy of the report marked 'Agenda Item 11' is filed with these minutes.

Under Standing Order 7(3) and 7(5), questions had been received from Dr. T. Eynon CC, which the Chairman had agreed would be dealt with as part of this item. A copy of the questions and the response provided by the Director of Adults and Communities was tabled at the meeting and is attached to these minutes (marked 'A'). The Chairman invited Dr Eynon to ask a supplementary question.

Dr Eynon commented that the location of the current Coalville Resource Centre meant that it was often seen as separate to other local community facilities. She asked whether work would take place with the third sector and other community resources in Coalville so that there wasn't a gap in provision and its closure was not a surprise to the community. Dr Eynon also queried how, if in due course the Coalville Resource Centre was declared surplus to requirements, the County Council would look to reinvest any capital that was realised?

In response, the Director of Adults and Communities stated that a similar model was operating elsewhere and worked well. It was advantageous to users for multiple services to operate from one site, as this enabled them to access more than one service at the same time. The Smith Crescent /Hamilton Court development would provide a higher level of supported living on one site and it was anticipated that there would be more community based activities available on site.

The decision relating to the existing Coalville Resource Centre would be made by the County Council's Property Services. If it was deemed surplus to requirements and a capital receipt was realised, it was anticipated that this would be used to offset the £3.7m cost of building the new development at Smith Crescent. Other services were also due to be developed in North West Leicestershire around a dementia support service and possible extra care; as a result the capital investment in this area was expected to be substantial.

RESOLVED:

That the Cabinet be advised that this Committee welcomes and supports the proposals.

12. Developing Sustainable Health and Social Care.

The Committee considered a report of the Director of Adults and Communities which provided an update on developments to create sustainable and personalised health and social care services across Leicestershire. A copy of the report marked 'Agenda Item 12' is filed with these minutes.

Arising from the discussion, the following comment was made:

- i) In response to a query around the funding gap, it was stated that commissioning activity and the projections were based on demands and pressures. The projections for Leicestershire had been published in the Joint Strategic Needs Assessment, which had been updated earlier in the year. Based upon Local Government Association analysis, Leicestershire would require approximately £90m to meet the shortfall in social care funding. The link to this document would be circulated to members of the Committee.

RESOLVED:

That the report be noted.

13. Capital Investment into Adult Social Care Accommodation Based Support Services.

The Committee considered a report of the Director of Adults and Communities which gave an update on the detailed needs analysis that had been undertaken to inform the Social Care Accommodation Development Plan and Investment Prospectus and provided information on the ways in which the Council intended to meet the identified gaps in provision. A copy of the report marked 'Agenda Item 13' is filed with these minutes.

In response to a question concerning the option of the Council developing a housing company or becoming a Registered Social Landlord, the Committee was advised that these, and other options, were being explored and a report would be made to the Cabinet in due course. The work being undertaken on options affected a number of other departments and services provided by the Council, and as such would be a matter for the Scrutiny Commission.

The Cabinet was due to receive a report at its meeting on 25 June 2019 which would provide the first iteration of the Investment Prospectus, the implementation process, resource requirements and financial implications.

RESOLVED:

That the Cabinet be advised that this Committee welcomes and supports the proposals.

14. Review of Long Term Residential and Nursing Care Fees.

The Committee considered a report of the Director of Adults and Communities which provided an update on the proposed changes to the way in which the Council agreed prices for residential care and residential nursing care, focusing specifically on the second stage of the consultation. A copy of the report marked 'Agenda Item 14' is filed with these minutes.

In response to a query, it was stated that approximately 20% of service users paid a 'top up'; it was not yet known how many of these would see a reduction in this, but it was anticipated that many would.

The Committee welcomed the increase in the Council's fees to support the people who required a service and wished to place on record its thanks to officers for the work undertaken in this area.

RESOLVED:

That the Cabinet be advised that this Committee welcomes and supports the proposals.

15. Provision of Services.

The Committee considered a report of the Director of Adults and Communities which provided an overview of how social care needs were met within the county, the way people received services and the estimated levels of need locations. A copy of the report marked 'Agenda Item 15' is filed with these minutes.

Arising from the discussion, the following comments were made:

- i) Over 70% of people had packages of care arranged within two weeks and over 90% within four weeks. The highest number of requests waiting had been in Harborough and Melton Mowbray, and it was felt that these were difficult areas for sourcing care due to the rural nature of the areas and high levels of employment. It was acknowledged that there were hot spots throughout the county where it was difficult to commission domiciliary care, and despite providers offering a higher salary, there were still difficulties in recruiting staff. If the framework of providers could not provide a service, other providers would be sought and people were offered a direct payment if they could find a service outside of the normal framework. Within Melton, local people were seeking to establish a village enterprise to provide such services. This would be supported by the County Council and if successful, it would be rolled out to the Harborough area.
- ii) It was noted that the department was experiencing pressures of demand, and there were regular senior management meetings with health to address these pressures. Discussions were ongoing around Continuing Healthcare to agree a protocol and an escalation and dispute process was part of this. The department was also supporting a community health services review to develop a revised footprint around therapy services.
- iii) A report on the community services redesign programme, by the CCGs and Leicestershire Partnership Trust, was in the process of being enacted. A report on this had previously been presented to the Health Overview and Scrutiny Committee, and the lack of capacity in district nursing provision had been acknowledged by the CCGs. The intention was to redesign the current services so that the Integrated Community Services was reviewed to identify which services needed to be in the Home First element (largely therapy services) and separate these from district nursing services. These would be based around Integrated Locality Teams and would work to keep people at home. The County Council was supporting the development of integrated care, and it was anticipated that this would release some capacity.
- iv) The national shortage of qualified mental health staff was reflected in Leicestershire, and action had been undertaken to address this through recruitment with the proposed addition of a market premia. In response to a query around meeting demand, it was stated that the AMHP Service (which assessed people under the Mental Health Act to be sectioned and admitted to hospital) was meeting statutory requirements around assessments. There was currently no evidence to suggest that the service was not also meeting its other requirements. A number of agency staff were currently employed and this was helping with meeting the demand, although it was hoped that a number of vacant posts would be filled.

RESOLVED:

That the report be noted.

16. Provisional Performance Report 2018/19.

The Committee considered a joint report of the Chief Executive and Director of Adults and Communities presenting an update of the Adults and Communities Department's

performance for the year 2018/19. A copy of the report marked 'Agenda Item 16' is filed with these minutes.

A member queried whether it would be possible to record where people were from when visiting heritage sites. There were areas throughout the county where no heritage sites existed and it would therefore be useful to know whether people travelled to other areas to visit a site. This had previously been undertaken at a district level, and it was suggested that this research could be undertaken by students at one of the universities within Leicestershire. The Director responded to say that this suggestion would be considered.

RESOLVED:

That the report be noted.

17. Dates of Future Meetings.

RESOLVED:

It was noted that the next meeting of the Committee would be held on 2 September 2019 at 2.00pm.

Future meetings of the Adults and Communities Overview and Scrutiny Committee will be held at 2.00pm on the following dates:

11 November 2019
20 January 2020
9 March 2020
8 June 2020
7 September 2020
2 November 2020.

2.30 – 3.50pm
10 June 2019

CHAIRMAN

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ADULTS AND COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE
2 SEPTEMBER 2019

DOMICILIARY CARE SERVICE POST NOVEMBER 2020

REPORT OF THE DIRECTOR OF ADULTS AND COMMUNITIES

Purpose of report

1. The purpose of this report is to inform the Committee on the proposed way forward regarding the re-procurement of domiciliary care services.

Policy Framework and Previous Decisions

2. The local authority must provide support for people if they have unmet eligible assessed care and support needs as outlined in the Care Act 2014.
3. The Care Act also places a duty on the local authority to ensure there is a market of high-quality provision able to meet the needs of the resident population whether they are funded by the Council or purchasing their own services.
4. Commissioning of all services should be based on meeting assessed need and achieving outcomes and should not be time and task orientated.
5. Previous reports submitted to the Cabinet relating to the current service are as follows:
 - Final report of the Scrutiny Review Panel on Help to Live at Home: 2 June 2015;
 - Help to Live at Home - Confirmation of the Outcome of Procurement and Update on Transition Arrangements: 8 November 2016.

Background

6. The current domiciliary care service (Help to Live at Home) was designed to help service users achieve maximum possible independence at home, by moving to a service model that focused on reablement and maximising independence. The intention was that service users would be enabled to manage their own care, wherever possible, improve their resilience to deal with issues in the future, and give them better social outcomes.
7. The service aimed to optimise service users' independence through the provision of progressive reablement taking an 'enabling', rather than a 'doing for' approach to service delivery. The service includes community reablement ('Step Up') assisting service users to manage, through timely intervention, periods of ill health and/or injury and avoiding unnecessary hospital admission. An ongoing reablement approach was included as part of all service provision, supporting service users to be independent for as long as possible.

8. The Department is in the early stages of looking at how to deliver domiciliary care to Leicestershire residents in the future, as the current Help to Live at Home service is due to end by November 2020, with a possible extension up to November 2021 to ensure a smooth transition to the new service.
9. The main priority is helping people to live as independently as possible, taking into account the views of service users, carers and professionals to deliver a quality service.
10. The service is delivered across 18 geographic lots aligned to the Clinical Commissioning Group (CCG) boundaries (eight in the East and ten in the West), utilising a mix of lead, supplementary and contingency providers.
11. Current total service user numbers and hours are as follows:

Service users receiving home care	1,994
Service users receiving reablement	67
Weekly home care hours commissioned	20,317
Weekly reablement hours commissioned	2,892
12. The option to extend to November 2021 is retained and may be used (all or in part) to support a longer transition period to the new service to ensure that all providers are operationally stable before moving onto the next.
13. The project set up to define and implement the new service is still at a relatively early stage in terms of details but has set out an approach that will deliver an improved service, in a controlled manner, taking fully into account the views of the key stakeholders and the lessons learnt from the 2016 procurement process.

Proposals

14. The current joint contractual arrangement with NHS CCGs will be maintained. The new service will be jointly procured with the County Council acting as Lead Commissioner.
15. This will include the early discovery and identification of operational risks and issues to ensure that the subsequent design and specification work can incorporate appropriate mitigations. For example, to improve the quality of bids for the new service, an independent market analysis exercise (prior to the main procurement) will be undertaken to establish a fair and sustainable pricing model. This work will be in two phases covering both the current (As Is) framework and the design of the new service (To Be) to ensure that the:
 - domiciliary care providers bids will be based on quality of service;
 - risk of bidding at an unsustainable price will be removed.
16. The following are included within the scope of the new service:
 - a) Change in culture from a 'Maintenance' approach to one of 'Long Term Support' in a 24 x 7 x 365 setting. For example, an approach that supports and encourages service users to become more independent in supporting them to do a task they previously could or helping them to relearn it rather than doing it for them (e.g. helping them to get dressed versus getting them dressed);

- b) Options appraisal of some more specialist services e.g. dementia services;
- c) Consideration of how the new service will fit alongside the reablement service provided by the Home Care and Reablement Team (HART) and Home First and how the referrals will be made to the providers (e.g. through a lead provider or through some sort of brokerage service).

17. The service design will consider:

- roving night time supports and 'Waking Night' care;
- respite care in the home;
- live-in carer service;
- a service model where the County Council may have a stake in that market.

18. The proposed service will specifically exclude:

- remodelling of the HART service (this will be delivered by the Adult Social Care Target Operating Model programme);
- short-term intensive reablement (Step Up/Step Down) service offer;
- Crisis Response Service offer;
- accommodation with support e.g. Extra Care/Supported Living.

19. The intention is to phase in the start of services across the county to avoid the complications that arose from the previous whole service launch approach. This will enable each provider to be stabilised before introducing the next. The initial estimate for completion of the implementation is three months but is highly dependent upon several factors including how different the new service is and how many of the providers are new.

20. A contingency period is built into the plan between the completion of the procurement and the start of the implementation to both factor in the current number of unknowns and allow the preceding work to flex where needed.

21. The ability to extend the current framework to November 2021 (see above) provides the opportunity to implement additional safeguards if needed.

Consultation

22. A further report will be submitted to the Committee in November which will encompass the design and consultation proposals.

Resource Implications

23. The 2019/20 budget for domiciliary care is £16.6m. The overall budget requirement of the new service will be determined following the market analysis referred to in paragraph 15 and the subsequent development of the service specification. Any changes to existing budget requirements will be considered within the MTFS budget setting arrangements for 2020–2024.

24. The project will require significant input from both the Department and supporting corporate services such as Transformation, Commercial Services and Legal

Services. Appropriate support will also be required from the CCGs. A full resource profile will be included in the report submitted in November.

25. A multi-partner Project Board has already been set-up along with work stream groups responsible for defining and delivering the various elements of the service.
26. The Director of Resources and the Director of Law and Governance have been consulted on the content of this report.

Timetable for Decisions

27. A detailed plan will be included in the November report following completion of the service design. A report will be presented to Cabinet in December or January to seek approval for the procurement of the new service. The summary timetable below is targeted at identifying key risks and issues that will need to be mitigated early in the process to ensure that the resultant service will be robust and fit for purpose. The dates shown are subject to change pending completion of the full-service design.

28. Key target milestones:

- | | |
|--|----------------|
| • Market Analysis (Phase 1 – As Is position) | September 2019 |
| • Draft New Service Design | September 2019 |
| • Market Analysis (Phase 2 – To Be position) | October 2019 |
| • Final New Service Design | November 2019 |
| • Partnership Agreement (Completed) | December 2019 |
| • Procurement (Completed) | March 2020 |
| • Implementation (Starts) | August 2020 |
| • Implementation (Finishes) | October 2020 |
| • Service Stabilisation Ends/Handover to Business as Usual | March 2021 |

Conclusions

29. The project is in the early stages of defining future requirements and as such the information contained in this report will be subject to change as that work progresses.
30. The lessons learnt from the previous service implementation will play an important part in ensuring that the plans for the new service are robust and fit for purpose.
31. The Committee is invited to comment on the approach outlined within this report which can then be considered in the service design prior to finalisation in November.

Background Papers

- Report to Adults and Communities Overview and Scrutiny Committee: 2 June 2015 – Final Report of the Scrutiny Review Panel on Help to Live at Home - <https://bit.ly/2Z365OH>
- Report to Adults and Communities Overview and Scrutiny Committee: 8 November 2016 – Help to Live at Home (HTLAH) Confirmation of the Outcome of Procurement and Update on Transition Arrangements – <https://bit.ly/302aMtl>

Circulation under the Local Issues Alert Procedure

32. None.

Equality and Human Rights Implications

33. As this is a new service, an Equality and Human Rights Impact Assessment (EHRIA) will be undertaken at an appropriate point in the design process. This is unlikely to be completed in time for the November Scrutiny report but is expected to be completed in time for the submission to Cabinet. An EHRIA is a tool to help individuals and departments to identify whether any new or significantly changed policies, practices, procedures, functions and services may have an adverse impact on a community or group of people and whether the human rights of individuals may be affected.

Other Relevant Impact Assessments

Environmental Implications

34. There should not be any significant environmental impacts as a result of implementing this new service, although some delivery zones may be realigned resulting in changes to current journeys. It is possible during the lifetime of the service that some care worker journeys could be increased because of outside influences e.g. construction of HS2 resulting in increased travel times due to road closures and diversions. This could provide opportunities to optimise the use of assistive technology/care-tech initiatives to support, efficient and effective care delivery and further reduce the environmental impact of the service by reducing unnecessary care worker journeys.

Partnership Working and Associated Issues

35. Health colleagues from East and West CCGs are fully engaged with the project.

Risk Assessment

36. The delivery project will undertake a dual risk assessment that focuses on both; service quality and the delivery approach, ensuring that service risks are not lost within those associated with the delivery of the project. Further details will be presented in the November report.

Officers to Contact

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ADULTS AND COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE
2 SEPTEMBER 2019

CARERS' SUPPORT UPDATE

JOINT REPORT OF THE DIRECTOR OF ADULTS AND COMMUNITIES,
DIRECTOR OF CHILDREN AND FAMILY SERVICES AND
DIRECTOR OF PUBLIC HEALTH

Purpose of report

1. The purpose of this report is to provide an update to the Committee on the progress made in the delivery of the Joint Carers' Strategy 2018-21, Implementation Plan and priorities over the next 12 months.

Policy Framework and Previous Decisions

2. The relevant policy framework includes:
 - The Care Act 2014;
 - The Children and Families Act 2014;
 - Joint Carers Strategy 2018-2021 Recognising, Valuing and Supporting Carers in Leicester, Leicestershire and Rutland (LLR);
 - Leicestershire County Council's Strategic Plan 2018-2022;
 - Leicestershire Communities Strategy 2017-21;
 - Leicestershire Adult Social Care Strategy 2016-2020.
3. The Care Act 2014 replaced most previous legislation regarding adult carers. It places the responsibility on local authorities to:
 - Prioritise health, wellbeing and outcomes for carers;
 - Assess a carer's need for social care support;
 - Consider the impact that caring has on the person's overall health and wellbeing.
4. The Children and Families Act 2014 gives young carers more rights to ask for support. Any needs assessment must include consideration as to whether it is appropriate for the person to or continue to provide care or to continue to do so.
5. In June 2018 the National Carers' Action Plan was published. This plan identified actions to be taken over the subsequent two years to improve support for carers across England. An update was issued in July 2019 setting out which actions had been delivered and those still in progress. The concluding report is expected in 2020.
6. On the 11 September 2018, the Committee received a report on the draft Joint Carers' Strategy and Implementation Plan 2018-21 before its consideration by Cabinet, including public feedback from a full consultation exercise.

7. On the 16 October 2018, the Cabinet approved the Joint Carers' Strategy and Implementation Plan.

Background

8. The County Council provides support to adults and young carers through:
- Regular and 'one off' Direct Payments;
 - Support for Carers Service funded by Public Health;
 - Dedicated Carers Workers in Customer Service Centres;
 - Flexible Respite Framework – however this provision will not be available from 31 October 2019 (see paragraph 12 below);
 - Support for young carers through Barnardo's (contract due to end in March 2020, options being considered by Children and Family Services as to future arrangements).

Progress made in the past 12 months

9. The County Council has made significant progress and driven improvements in several areas of the Strategy and Implementation Plan, in the process delivering better outcomes for carers. A full account of progress can be found in Appendix A.
10. The use of the Improved Better Care Fund (IBCF) to fund the Customer Service Centre Carers' Team has led to an improved customer experience. This includes a review of the assessment process and the form being made available digitally as part of the customer portal. Specific feedback from carers includes:

'A much quicker process than previous years – it is great to have the recognition and support as a carer'

'Service is so much better than previous years – I am extremely happy with the continuity of the same worker communicating with me'

'This year's service has been marvellous. So much better than previous years when there was a lot of waiting for call backs and payment. I feel so much more supported and appreciated in my role – thank you'.

11. Through system changes, better intelligence is available to the Department as to the types of support carers need, especially for those in receipt of a Direct Payment. This intelligence is being used to plan how carers' support is being delivered in the future.
12. A review of the Flexible Respite Framework has found that it is poorly utilised. As a result, the framework is ending as of 31 October 2019, though those in receipt of services will continue to receive them until a suitable alternative is identified.
13. There have been 74 registrations for the Carers Digital Resource, funded via the IBCF. This provides access to Carers UK guidance and publications; carers resilience e-learning; and free access to Jointly, a care co-ordination application. A leaflet is available upon request for Committee members.
14. A new GP leaflet has been co-produced and is well received by carers. Alongside the introduction of new CQC quality markers regarding carers, this has invigorated GPs

interest in Carers. A leaflet is available upon request for Committee members.

15. A new e-learning package regarding carers has been developed and rolled out across the County Council. To date 364 staff have completed the package, with work ongoing to increase uptake.
16. Furthermore, a more in-depth carers' training package has been delivered to 381 Adults and Communities staff members by a Lead Practitioner and the Carers' Lead. The training focuses upon the County Council's Care Act responsibilities regarding carers, including eligibility and appropriate services.
17. Thirteen organisations across Leicestershire have signed up to the Employers for Carers' Scheme, including four district councils (Charnwood, Blaby, Melton and North West Leicestershire) and the County Council. The scheme provides access to a range of online practical resources including; model policies, good practice examples, case studies and information on key workplace issues.

Priorities for the next 12 months

18. Alongside consolidating the achievements delivered, the County Council will continue to expand upon its Carers' Work Programme. This includes some of the areas in the Strategy and Implementation Plan that have either taken longer to set up or have not been achievable with the available resources. These are detailed below.
19. In response to the decommissioning of the Flexible Respite Framework, a full Options Appraisal is being considered in October. Utilising better intelligence regarding carers' services will drive forward the department's future approach.
20. The County Council is working with partners across LLR bidding for the Department of Health and Social Care support through the Carers' Innovation Fund. The proposal is being led by the County Council and will focus on developing a range of flexible support for carers through carer inclusive and friendly communities. It will be an asset-based approach based upon support through volunteers, friends, business ventures and community groups.
21. Some progress has been made in ensuring that housing services make appropriate considerations and/or adjustment for carers. Carers have fed back that they struggle with housing staff not:
 - Being aware of the pressures caring brings;
 - Recognising the amount of space aids and adaptations can occupy in a home;
 - Issues relating to the housing benefit under occupancy charge where the carer is unable to share space.
22. In response the County Council will be making the Carers' e-learning available to all housing staff, as well as reviewing what information, advice and guidance is provided on areas from access to housing, to aids and adaptations.
23. Visits or admissions to hospital, whether planned or unplanned; for the carer or cared for person can have a significant impact on carers' health and wellbeing. Discussions have begun with representatives from University Hospitals of Leicester NHS Trust to develop a support pack for carers both whilst in hospital and upon discharge.

Resource implications

24. The total County Council expenditure on carers' services in 2018/19 was £1,542,068. However, support for carers is also delivered, whether directly or indirectly, through a support plan for the cared for person. Currently, it is not possible to quantify this financial commitment.
25. In April 2017, funding to support carers' services was allocated from the IBCF. Breakdown as to how this was used can be found below:
- £30,000 (June 2017 to March 2018): Six Shire Grants for growth of carer groups in the county; video filming of carers for staff training package; and the design and print of GP Carers Information Leaflet;
 - £95k (April 2018 to March 2020): 2.5 FTE Customer Service Centre (CSC) dedicated Carers Community Support Worker posts and associated management costs; and Employers for Carers and Digital Resource membership from Carers UK.
26. Children and Family Services commission Barnardo's, a voluntary sector provider, to undertake carers' assessments and provide support to young carers across Leicestershire.
27. The Director of Corporate Resources and the Director of Law and Governance have been consulted on the content of this report.

Future Strategic Approach

28. The current Strategy and Implementation Plan runs until 2021. Over the next 12 months work will begin to consider a new strategy. The current intention is to continue to work in collaboration with partners across LLR.
29. Consideration will be given as to how any new Strategy and Implementation Plan aligns with the Adults and Communities Strategy 2020-24 and Whole Life Disability Strategy.

Background Papers

Joint Carers Strategy 2018-2021 <https://bit.ly/2KAQQso>

June 2018 National Carers Action Plan - <https://bit.ly/2JuoeRO>

Report to the Cabinet: 16 October 2018 – Leicester, Leicestershire and Rutland Carers' Strategy 2018-21 – <https://bit.ly/2P0iLWZ>

Report to Adults and Communities Overview and Scrutiny Committee: 11 September 2018 – Draft Leicester, Leicestershire and Rutland Carers' Strategy 2018-21 – <https://bit.ly/2H7WBvo>

Circulation under the Local Issues Alert Procedure

30. None.

Equality and Human Rights Implications

31. An initial screening assessment for the Equalities and Human Rights Impact was undertaken in 2017 and reviewed by the Adults and Communities Departmental Equality Group. The screening assessment indicated that once implemented the Carers' Strategy may have a positive impact on people with a number of protected characteristics. There were no further Equalities and Human Rights Impacts identified through consultation responses.
32. The current Strategy and Implementation Plan is due to end in 2021. A new Equality and Human Rights Impact Assessment will be undertaken during the next Strategy's development. This will look what has been achieved by the current strategy and what can be improved for the next.

Partnership Working and Associated Issues

33. The LLR Carers' Delivery Group is responsible for overseeing delivery of the Joint Carers Strategy 2018-21. The group and associated activities sit as part of the Prevention (Home First) work stream of the local Sustainability and Transformation Partnership.
34. Partners in the delivery of the Joint Carers Strategy and, as such, members of the Delivery Group include:
 - Leicestershire County Council (including the Delivery Group Chair);
 - Leicester City Council;
 - Rutland Council;
 - Leicester City Clinical Commissioning Group;
 - East Leicestershire and Rutland Clinical Commissioning Group;
 - West Leicestershire Clinical Commissioning Group;
 - Leicestershire Partnership NHS Trust;
 - Voluntary and Community Sector Organisations (including speaking on behalf of carers);
 - Healthwatch Leicestershire.
35. The local vision for Carers is shared:

'Family members and unpaid carers, including young people across Leicester, Leicestershire and Rutland will be identified early, feel valued and respected. They will receive appropriate support wherever possible to enable them to undertake their caring role, whilst maintaining their own health and wellbeing'.

From this vision each organisation listed in paragraph 34 has developed its own Implementation Plan. It is the responsibility of the Delivery Group to ensure that there is a consistent approach to improving outcomes for carers across the local health and social care footprint.

List of Appendices

Appendix A - Leicestershire Carers' Strategy Implementation Plan Progress Update

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Appendix A: LLR Carers' Strategy: Leicestershire County Council Implementation Plan Progress Update, August 2019

Priority:

1. Early identification of carers and recognition of caring roles

Action No	Actions required	Details	Summary of Actions Delivered	Further Action Underway or Imminent	Measures
1.1	Awareness raising	Increase awareness of carers and caring across the general public	<ul style="list-style-type: none"> • Purchase of the Carers' Digital Resource, providing carers with tools such as online training and useful applications • Extensive promotion of the Employers for Carers Scheme • Circulation of carer awareness material to libraries to display 	<ul style="list-style-type: none"> • Develop means to ensure that carers related information is consistently shared through partners' communication channels 	<ul style="list-style-type: none"> • 74 sign-ups to date to the Carers' Digital Resource • 12 organisations committed to the Employers for Carers Scheme
		Promoting identification of carers through GPs, pharmacies, housing representatives and Leicestershire County Council staff	<ul style="list-style-type: none"> • Carer awareness training has been delivered to the Lightbulb team • Leaflet developed and circulated to GPs in liaison with the Clinical Commissioning Groups and with input from carers • Sharing of good practice and learning, and oversight of delivery against the action plan, through networks and partnerships (such as the Housing Services Partnership) 	<ul style="list-style-type: none"> • Further development of joint work with housing, pharmacies and Local Area Coordinators 	<ul style="list-style-type: none"> • 2,361 Carers Assessments undertaken in 2018/29 • Positive feedback from GPs to leaflet
1.2	Co-production of staff training package	Ensure staff are appropriately trained in recognising carers, have a good understanding of the issues facing carers and a sound knowledge of the local offer and assessment processes	<ul style="list-style-type: none"> • Staff training has been co-produced with carers, including videos used as part of the package • Online learning developed that is appropriate for all Leicestershire County Council staff, and a further bespoke, focussed training package delivered for adult social care operational staff 	<ul style="list-style-type: none"> • Produce refresher training to keep staff skills up to date • Develop an approach to carer awareness as part of staff induction 	<ul style="list-style-type: none"> • 364 Leicestershire County Council staff have completed the online learning • 381 operational adult social care staff have received the focused carers training

2. Carers being valued and involved

Action No	Actions required	Details	Summary of Actions Delivered	Further Action Underway or Imminent	Measure
2.1	Increase the involvement of carers in service design and other reviews	Co-design of carers services is integral to the Joint Carers Strategy, including being an aspect of its development	<ul style="list-style-type: none"> • Alterations have been made to the authority's assessment approach based on feedback sought from carers • Training has been co-designed with carers • Inclusion of how to involve carers in the assessment process in training delivered to operational adult social care staff 	<ul style="list-style-type: none"> • The authority's service user and carer Engagement Advisory Panel, established in summer 2019, will advise on how to better engage carers in reviews of service 	<ul style="list-style-type: none"> • Carers' satisfaction survey, autumn 2019
2.2	Support for carers when accessing acute medical services	To ensure that carers and their caring responsibilities are considered whilst they or the person they care for are in hospital and during and after discharge	<ul style="list-style-type: none"> • Initial liaison with representatives from University Hospitals of Leicester NHS Trust 	<ul style="list-style-type: none"> • To define good support for carers and to identify and implement changes required 	<ul style="list-style-type: none"> • To be developed as part of the project

3. Carers are informed

Action No	Actions required	Details	Summary of Actions Delivered	Further Action Underway or Imminent	Measure
3.1	Carers receive the right information, advice and guidance	Carers can receive consistent advice from a variety of health, social care and other organisations across LLR	<ul style="list-style-type: none"> Oversight of consistency across the LLR footprint from the Carers' Delivery Group Leaflet produced with input from GPs and the Clinical Commissioning Groups 	<ul style="list-style-type: none"> Continued oversight via the LLR Carers' Delivery Group 	<ul style="list-style-type: none"> Ease of accessing services will be tested in the carers' survey in autumn 2019
3.2	Carers' access to advocacy	Carers need to be aware that they can access advocacy services, and how to do so	<ul style="list-style-type: none"> Carers were included in the service specification for Leicestershire County Council's new Advocacy Service from April 2019 	<ul style="list-style-type: none"> To ensure that the advocacy service is included in information, advice and guidance provision 	<ul style="list-style-type: none"> Through advocacy service contract management

4. Carer friendly communities

Action No	Actions required	Details	Summary of Actions Delivered	Further Action Underway or Imminent	Measure
4.1	The creation of 'carer friendly' communities	To work alongside all partners to develop 'carer friendly communities' – those that recognise and make reasonable adjustments for carers	<ul style="list-style-type: none"> Proposals developed between Leicestershire County Council and local partners Involvement of the authority's Local Area Coordinators Development of a proposed community project for financial support from the national Carers' Innovation Fund 	<ul style="list-style-type: none"> 'Carer friendly communities' proposal to be further scoped 	<ul style="list-style-type: none"> To be developed
4.2	Implementation of the Carer's Passport / suitable alternative	The carer's passport or similar is designed to ensure that carers can be in employment should they want to. This includes guidance for themselves and managers	<ul style="list-style-type: none"> To demonstrate good practice, Leicestershire County Council has a type of carer's passport available to its employees The authority has carers' initiatives for its workforce, including sessions during Carers' Week 2019, and internal face-to-face and electronic support networks 	<ul style="list-style-type: none"> Develop workforce carer monitoring Continue to develop mechanisms for carers to self-identify, access the support and adjustments they need, and then gather their feedback Engage in the LLR Carers' Delivery Group workstream which is exploring wider application of the carer's passport approach 	<ul style="list-style-type: none"> Develop measures based on the monitoring to be established
4.3	That carers can access local community support groups	That local provision is available for carers through the voluntary, community and private sectors	<ul style="list-style-type: none"> Six Shire Grants projects have been funded to date, each focused upon support for carers 	<ul style="list-style-type: none"> Potential new round of Shire Grants funding to be explored 	<ul style="list-style-type: none"> Review the impact of the Shire Grants projects

5. A life alongside caring

Action No	Actions required	Details	Summary of Actions Delivered	Further Action Underway or Imminent	Measure
5.1	Improve carers' access to finance and benefit advice	Feedback from carers has been that they find it difficult to access information, advice and guidance regarding finance and benefits, whether for themselves or the person that they care for	<ul style="list-style-type: none"> Improvements have been made to information provided online by Leicestershire County Council 	<ul style="list-style-type: none"> Further improvements to information, advice and guidance Continue work with housing related partners 	<ul style="list-style-type: none"> Feedback from carers
5.2	Provision of a flexible and responsive respite provision	Respite or 'Time Out' provides often vital time away from caring responsibilities. For this provision to be successful it must be flexible, available at short notice and, as far as possible, community based	<ul style="list-style-type: none"> Options for a new approach to respite are in development following a review which determined that the current flexible respite framework is underutilised and not providing the outcomes expected 	<ul style="list-style-type: none"> Finalise the future approach to breaks for carers 	<ul style="list-style-type: none"> To be developed depending upon the new approach

6. Carers' living spaces and technology products (equipment)

Action No	Actions required	Details	Summary of Actions Delivered	Further Action Underway or Imminent	Measure
6.1	Greater understanding required of carers' housing tenure	More research is required to understand the effect of the current approach to housing on carers – whether this means in their own homes or those in which the cared-for reside	<ul style="list-style-type: none"> For later implementation 	<ul style="list-style-type: none"> Scope of this project, including deliverables, will be undertaken with housing partners 	<ul style="list-style-type: none"> To be developed
6.2	Ensure that the information, advice and guidance provided by housing is consistent	A consistent provision for carers is required across all partner organisations.	<ul style="list-style-type: none"> Strategy and Implementation Plan updates are provided to the Housing Services Partnership 	<ul style="list-style-type: none"> Work alongside the Housing Services Partnership to scope this work 	<ul style="list-style-type: none"> Audit of information, advice and guidance
6.3	That housing staff are aware of carers and the impact that caring has upon them	Carers can receive consistent advice from a variety of health, social care and other organisations across LLR	<ul style="list-style-type: none"> The foundation of a training package has been developed in line with the approach Leicestershire County Council staff as a whole 	<ul style="list-style-type: none"> Training is being transferred to a format that is accessible by housing staff 	<ul style="list-style-type: none"> The number of housing staff who have undertaken the training

Action No	Actions required	Details	Summary of Actions Delivered	Further Action Underway or Imminent	Measure
6.4	Carers are informed and if necessary trained in the use of aids and adaptations in their or the cared-for's home	One to one training for carers to be delivered by Occupational Therapists in Leicestershire and Rutland	<ul style="list-style-type: none"> For later implementation 	<ul style="list-style-type: none"> The development of a formal and sustainable ongoing offer 	<ul style="list-style-type: none"> Feedback will be gathered from Carers once the intervention is in place

7. Carers accessing the right support at the right time

Action No	Actions required	Details	Summary of Actions Delivered	Further Action Underway or Imminent	Measure
7.1	Review of Leicestershire County Council's carers' offer	To review Leicestershire County Council's approach to providing direct carers' support, including the assessment process.	<ul style="list-style-type: none"> Dedicated Carers' Workers have been employed and hosted within the authority's Customer Service Centre Assessment documentation has been improved, based upon feedback from carers, and made available online 	<ul style="list-style-type: none"> Next priority is to review support provided for carers regarding skills development, whether or not related to their caring responsibilities. 	<ul style="list-style-type: none"> Previous elapsed time for carers to access support through the County Council was 47 days. Elapsed time after implementation of dedicated Carers Workers is 18 days (62% reduction)

8. Supporting young carers

Action No	Actions required	Details	Summary of Actions Delivered	Further Action Underway or Imminent	Measure
8.1	Review current contract	Commission services to provide specific young carer assessments and subsequent support for the family through specialist workers	<ul style="list-style-type: none"> Initial discussions with current provider & commissioning team have taken place. Considering longer contract period, possibly 3 years, to maintain continuity of support. 	<ul style="list-style-type: none"> Process for re-commissioning due to start in September 2019 and be completed by Dec 2019 	Evaluation of the assessments showing improved outcomes and a reduction in needs <ul style="list-style-type: none"> Improved school attendance and higher achievement academically leading to greater potential to access employment Clear identification of young carers in education settings leading to an increase in referrals for assessments and/or group work support Group work outcomes will show positive impact reducing the need for support services involvement with families
8.2	Maximise the identification of young carers	By working with schools to raise awareness across the area. Ongoing meeting of the Young Carers Multiagency group focussing on identification through schools	<ul style="list-style-type: none"> Young carers multi agency group has merged with the Young Adult Carers Group. The group is led by Vulnerable students lead at Loughborough University. 	<ul style="list-style-type: none"> Continue to link with education champions to raise awareness and support young carers in educational settings 	
8.3	Work with Transition teams	Focus on the transition from children's to adults' services using the whole family approach to ensure a smooth handover, and work with employers and young carers to support them into further/higher education or employment	<ul style="list-style-type: none"> Contract provider is delivering whole family approach and rolling out across the county. Awaiting findings and details of impact at this time 	<ul style="list-style-type: none"> Remains focus of Young carers Group to oversee 	
8.4	Prioritise group work support for young carers	Targeted to their needs and work with partners in the PVI sector to provide a range of 'respite' opportunities	<ul style="list-style-type: none"> Group work offer is now deemed a core offer within Children and Families Wellbeing Service. Partnership work with VASL in Harborough supports group work. 3-year funding secured for young carers group in Hinckley 	<ul style="list-style-type: none"> Voluntary sector primarily Young Leicestershire continue to provide young carers groups 	

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ADULTS AND COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE
2 SEPTEMBER 2019

PROGRESS REPORT ON RECORD OFFICE RELOCATION

REPORT OF THE DIRECTOR OF ADULTS AND COMMUNITIES

Purpose of report

1. To provide the Committee with an update on Phase One of the Collections and Learning Hub Project – the re-siting of the Record Office for Leicestershire, Leicester and Rutland (ROLLR) to the County Hall campus, and, as part of forthcoming stakeholder engagement, to present an opportunity for the Committee to shape the design brief.

Policy Framework and Previous Decisions

2. The Cabinet approved the development of a Collections and Learning Hub on the County Hall campus in June 2018. The approved option offered two potential schemes - a new build with capital costs of £36 million and a refurbishment of an existing County Council building with capital costs of £16 million. Following further work, a proposal was agreed that reduced the capital costs to £13 million. This would deliver over two phases, with a relocation of the Record Office (Phase One) at a cost of £10 million and a base for Museum and Creative Learning Service collections through a refurbished Eastern Annexe (Phase Two) at a cost of £3 million.

Record Office statutory responsibilities

3. The service delivered by the Record Office enables the County Council, Leicester City Council and Rutland Council to meet their obligations under the following main pieces of legislation:
 - The 1972 Local Government Act;
 - The 1958 Public Records Acts (as amended);
 - The 1978 Parochial Registers and Records Measure.
4. The Human Rights Act 1998, the Data Protection Act 2018, the Freedom of Information Act 2000 and the Environmental Information Regulations 2004 cover the rights of citizens to access the information held. These are generally based on European legislation requiring information to be made available proactively and reactively.

Standards and approvals

5. The Record Office is required to meet national standards of collection management and access, including approval by The National Archives (TNA) for the holding of public records (these are often records of national bodies created locally such as court and NHS records) and other controlled archives.
6. TNA administer the accreditation scheme which ensures minimum standards of care and access. They can grant and withdraw licences to keep public records and external funding applications will need their support.

Background

7. The Record Office is part of the Communities and Wellbeing Service, in the Adults and Communities Directorate. The Record Office has been located on Long Street, Wigston since 1992. The Record Office provides public access to the collections, via publicised opening hours, events and through its online catalogue.
8. The Record Office is delivered in partnership between the County Council, Leicester City Council and Rutland Council. The County Council own, manage and operate the facility on behalf of the partnership, and staff are employed by the County Council.
9. The Record Office has achieved The National Archive accreditation standard, which ensures all three partners fulfil their statutory responsibilities to provide an approved place of deposit for the public record. The Record Office receives around 11,000 visitors per annum and gives physical access to around 30,000 documents to users/enquirers. A programme of digitisation enables increasing levels of remote public access.
10. The Record Office has reached its storage capacity and, as a temporary measure, additional offsite storage has been provided within the Eastern Annexe, on the County Hall campus. The temporary storage is limited and inadequate in terms of environmental conditions and public access, and therefore the need for permanent resolution to the current storage situation is pressing.
11. In addition to the lack of expansion space, the existing Record Office building presents the service with a number of issues, principally inadequate floor loadings and failing racking; compromised compliance with fire regulations; poor energy efficiency and inefficient and inflexible layout of public and staff areas.
12. The service employs a number of measures to minimise the impact of these challenges on service users and staff. These include, working closely with the racking provider to resolve racking failures as quickly as possible, limiting the amount of time access is restricted; areas with compromised compliance with fire regulations are accessible to staff only and have a robust fire management plan. Staff are deployed to ensure search room users are properly supported.
13. The Registration Service has a statutory duty to provide storage for registration records and registers of births, deaths and marriages. The Registration Service records and registers are stored within the County Hall's Pen Lloyd building. The current storage location does not meet General Register Office (GRO) standards,

which are similar to those required for the Record Office, and it is therefore proposed that the specification for the new building will also include these requirements.

14. Moving the new Record Office from its current site will enable the three local authority partners to present a more modern space for service users, as well as meet its storage requirements for the next 25 years. It will:
- Improve and continue sustainable preservation of, and access to, archive collections;
 - Increase accessibility due to its central single site location;
 - Provide fit for purpose accommodation to satisfy TNA and GRO requirements and retain accredited status with TNA;
 - Improve storage space and conditions;
 - Significantly contribute towards the delivery of the “Great Communities” corporate strategic outcome, particularly the sub-outcome of *Preserving and Caring for our Heritage*.

Progress

15. The following progress has been made on developing Phase One, following approval by the Cabinet of the capital funding:
- Governance has been established to ensure that service redesign, partnership negotiations and stakeholder engagement take place alongside the design and build;
 - Engagement with the Record Office partners has taken place in advance of detailed discussions around the nature of the partnership. A representative from TNA is scheduled to facilitate a workshop with partners to agree priorities for service delivery on 6 September 2019;
 - Work has been undertaken with Strategic Property on the timetable for design and build, and Finance regarding the overall cost of delivering the new Record Office, including revenue costs;
 - The spatial requirements for the site are being validated to inform the design and build of a strong room and public access facilities on the County Hall campus;
 - A site survey has taken place on the proposed location of the strong room (new build);
 - Visited Hereford Record Office, as an example of a modern archive, using Passiv Haus design principles.
16. Key stakeholders, including the Friends of the Record Office, are being kept informed of the process and will be engaged in shaping the public access aspects of the new development.

Design

17. Work is underway to develop a design brief to inform the commission of the necessary build and associated works. Any development of the new facility will need to meet the statutory requirements set out below:

- The provision of a strong room for storage of records and Registration documents that meets British Standard (BS) 4971:2017, which outlines the care standards required for archive collections;
- The provision of staff and volunteer working spaces;
- The provision of public spaces, including reception;
- The provision of a search room which is secure and invigilated.

18. In addition, there is some flexibility to determine other aspects of provision and activity that can take place at the new venue. It is anticipated that stakeholders will be engaged in shaping the space in order to inform the emerging design brief. There are a range of activities that can be considered:

- Alternative ways for visitors and service users to interact with the collections including digital access, participatory workshops, formal and informal learning opportunities;
- Flexible study and engagement spaces;
- Options for access to refreshments;
- Parking and alternative transport options;
- Opportunities that would be of corporate benefit, such as including a Changing Places facility, event space, reviewing the current food court location to allow for public access and improve catering facilities;
- Opportunities for increased income generation by, for example, renting out temporary storage space;
- Opening hours that meet the needs of users within the resources available.

19. The Committee is invited to consider these activities and suggest any additional aspects that may shape the final design brief.

Next steps

20. Prior to starting the build, the project will:

Activity	Indicative Timeline
Seek the views of the Committee, partners and Friends of the Record Office in developing the design brief.	September/ October 2019
Develop a full business case, including: <ul style="list-style-type: none"> • Verification of operating costs, space requirements and consideration of new opportunities for generating income; • a target operating model for the service from the new facility, including opening hours and consideration of opportunities to expand digital access. 	November 2019

Activity	Indicative Timeline
Prepare the design brief.	November 2019
Establish new partnership agreement with Leicester City and Rutland, including revenue contribution (note: Partners will take the agreement through their own governance processes).	Winter 2019
Appoint a professional team and contractors for the design and build and seek planning permission.	Winter 2019

21. Design and build activity is expected to commence in 2020. The new Record Office is scheduled to be in full use by December 2023.

Resource Implications

22. £10 million capital has been allocated for the delivery and completion of this project and work continues on this basis. The completion of the design brief and the appointment of the quantity surveyor will further validate these figures.
23. The Director of Corporate Resources and the Director of Law and Governance have been consulted on the content of this report.

Recommendation

24. The Committee is asked to:
- a) Note the progress made with the report;
 - b) Comment on the activities set out in paragraph 17 on potential activities for the site.

Circulation under the Local Issues Alert Procedure*

25. None.

Relevant Impact Assessments

Equality and Human Rights Implications

26. No implications are currently anticipated, but the project will be subject to a screening Equality and Human Rights Impact Assessment during development of the full business case.

Environmental Implications

27. Records and archives should be stored in “fit for purpose” accommodation, that meets the required professional standards (TNA Accreditation and BS 4971:2017) for long term preservation of items.

28. A new strong room would be built in line with BS EN: 16893:2018, the standard for buildings intending to conserve cultural heritage.
29. Any new build or refurbishment should also contribute to the County Council's Environment Strategy.

Partnership Working and Associated Issues

30. The current Record Office is delivered through a partnership between the County Council, Leicester City and Rutland Councils. The partnership agreement will be reviewed as part of this project, to take into account each partner's service requirements, to confirm the financial arrangements for each partner, including risk sharing and contingency planning.

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ADULTS AND COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE
2 SEPTEMBER 2019

NEXT STEPS IN LIBRARY SERVICES PROVISION

REPORT OF THE DIRECTOR OF ADULTS AND COMMUNITIES

Purpose of report

1. The purpose of this report is to set out progress with library services and to provide an opportunity for the Committee to comment on options in shaping the future direction of the service as part of its forthcoming strategy refresh.

Policy Framework and Previous Decisions

2. In September 2014, the Cabinet approved a remodelling of the library service based on the following elements as being compliant with the County Council's statutory obligation under the Public Libraries and Museums Act 1964 to provide a comprehensive and efficient library service:
 - 16 major market town and shopping centre libraries funded by the County Council;
 - A support service enabling local communities to run their local library;
 - An online library service available 24 hours a day, 365 days a year to those with access to the internet;
 - A mobile library service providing a regular library service to most villages without a static library.
3. This model includes long-standing subsidiary services including the Home Library Service that is delivered via a network of local volunteers and managed internally, and the Prison Library Service which serves HMP Gartree and is resourced by the prison authority.

Progress

4. Since 2014 the library service has responded positively and innovatively to a challenging financial landscape and has sustained services by:
 - Transferring 33 rural libraries to local communities to sustain rural services;
 - Procuring a new Library Management System (LMS) in 2015 enabling the service to better control its book stock;
 - Introducing SMART self-access technology to 14 of its larger libraries in 2019 to expand public access;
 - Growth of an online offer to enable people to loan books and access information online.

5. Progress on the transfer of rural libraries to community management was reported to the Cabinet in July 2018. The report detailed how each Community Managed Library (CML) had developed different local offers depending upon need. These have ranged from working with health centres to enable stroke and disability groups to meet regularly, to enabling book groups, knit and stitch groups and pre-school story times to be held in the library.
6. The introduction of SMART Libraries became operational in April 2019 across 14 of the largest council funded libraries. This has enabled an additional 30 hours of public access time to be introduced and enabled the service to reintroduce opening hours lost in the 2014 remodelling as well as reducing operational staffing costs. Members of the public are now able to access libraries without staff presence and use the library to borrow books, use IT, and meet in the community space that the library offers. Staffed hours have been designed to meet the needs of those who may not choose to or cannot access the self-access hours.
7. There has been positive growth in access to online services as the service has sought to enable customers to loan books digitally and access information resources which previously would have been contained in traditional reference libraries. E-loans have shown an ongoing upward trend with a 70% increase in 2018-19 compared to the previous year. Whilst this still represents a small percentage of overall physical loans it is to be welcomed and encouraged as traditional loans decline.
8. The service has invested in specialist software to enable it to monitor better the performance of stock across the County. This helps to ensure that book resources are allocated to the right library at the right time and so, maximise their loan potential.

Performance Benchmarking and 2018/19 end of year update

Benchmarking analysis

9. CIPFA benchmarking analysis uses the latest available published data in spring 2019 which is largely 2017/18 data. The analysis uses nine library service indicators. Leicestershire's performance is compared to other two-tier County Councils.
10. The first chart set out within Appendix A shows overall performance compared to expenditure per head on library services. The vertical axis shows the rank of performance, whilst the horizontal axis shows the rank of net expenditure per head of population. Authorities in the top right quadrant are high performing and low spending. The table below shows Leicestershire's overall rank for performance and expenditure:

Theme	Performance rank of 27 (1 is highest performing)	Net expenditure rank of 27 (27 is lowest spending)
Libraries	26	12

11. The second chart within Appendix A lists the indicators used for the analysis together with the comparative quartile that Leicestershire's performance falls into. The first quartile is defined as performance that falls within the top 25% of two-tier counties. The fourth quartile is defined as performance that falls within the bottom 25% of two-tier counties.

12. Performance benchmarking is set across a back drop of declining library usage across the country. In addition, although CIPFA recording guidance has attempted to reflect change, there continues to be variance in how it is interpreted locally. An example of this is the metric of support services as a percentage of revenue (17-18 actuals). This shows Leicestershire's support costs at 31% of revenue expenditure against a neighbour average of 15%. If Leicestershire could achieve the neighbour average for support costs, it would rank overall as the third lowest County Council in terms of spend per head.
13. Leicestershire has the second lowest total book stock per 1,000 population against its comparators, although strategic investment in children's books has resulted in higher loans than average. As noted in paragraph 6 above, electronic loans have increased significantly. Other areas where performance is relatively poorer than comparable authorities, such as book loans and library visits, will be influenced by having the lowest total staff numbers per 1,000 population and reduced opening hours (although SMART libraries will improve this position).

2018/19 end of year update

14. Performance has been broadly stable compared to the previous year despite temporary library closures for SMART library adaptations. There has continued to be a declining trend in library visits, although there has been an increase in the numbers of loans. The service has a positive track record of using volunteers (over 9,000 hours in larger libraries and excluding CMLs).
15. It is worth noting that the indicators collated and shared by CIPFA are a more traditional set of measures and do not reflect more innovative use of our facilities, particularly the qualitative impact of the services as illustrated by two case studies set out below:

Qualitative Case Study 1: Volunteering

Z came to the service as a Summer Reading Challenge Volunteer in 2017 after sitting her GCSEs. Z did not class herself as academic and was unsure of her future path. She loved children but lacked confidence and knew she wouldn't get the grades to continue to A-levels so was facing big changes moving to a new college in the autumn. After a couple of weeks as a library volunteer Z's mum remarked how much happier Z was now. Z was a natural with the children, fitted in brilliantly with the team and was very hard working. She turned out to be one of the best volunteers we have ever had, and it was a pleasure to watch her grow in ability and confidence.

Z started a childcare course at College in the autumn and returned to volunteer in 2018, this time taking a mentoring role to new volunteers. She then secured an apprentice role at a local nursery where she now works. This is what Z says.

"Being a volunteer for the Summer Reading Challenge was one of the best things I did. I was a shy person a few years ago but volunteering two years in a row for this has made me a chatty and more confident person. It's such an amazing experience and a chance to not only improve your communication skills but also socialisation skills. Thanks to the Summer Reading Challenge I got the confidence to follow my heart with what I wanted to do when I was older and now I'm doing my dream job!"

Qualitative Case Study 2: Intergenerational Wriggly Readers

Intergenerational Wriggly Readers brings children and older members of the community together through stories. Many of the older people live in residential homes and their activities are centred on the home. Having the activity in the library is a very important aspect for many people as it gives them the chance to socialise and interact away from the residential home.

“it’s nice to get out and remember that the outside exists.” Jan 2019.

16. Libraries have strong community links with a range of stakeholders, including schools, health centres, and voluntary groups. Libraries work with these to offer the community space to host dementia cafés, Knit and Natter groups, reading groups and respond to national initiatives such as mental health days and activities that promote digital inclusion, for example, code clubs for young people. Activities like these enable people to stay connected and engaged with their community and contribute to the promotion of good general mental health and wellbeing.

Moving Forward

17. To inform future direction, the service has undertaken a wider high-level review of national library related performance than that reported by CIPFA. Whilst including CIPFA, it has also explored the national context of book lending and purchasing; public library statistics; the Department of Culture, Media and Sport Taking Part survey; Publishers Association; Library and Information Statistics Unit, Loughborough University and the Booksellers Association. General findings were as follows:
- a) National library use
- As noted in this report there is evidence of national decline in library use and library book funds;
 - In 2017/18, 32.7% of adults had used a public library service in their own time or for voluntary work in the 12 months since this data was collected. This is similar to the previous year (34.0%, 2016/17);
 - In 2017/18, 58.8% of children aged 5-10 had visited a library outside of school in the last 12 months, a similar proportion to 2016/17 (60.8%);
 - In 2017/18, 71.7% of 11-15-year olds had visited a library in the last 12 months. This is a similar proportion to 69.9% in 2016/17;
 - Children’s authors represented 13 out of the top 20 borrowed authors in 2016-16;
 - People are more likely to use libraries if they have children or used a library as a child;
 - The biggest reason for using a library was to encourage children to read;
 - The biggest reason for not using a library was lack of spare time or lack of need;
 - Public library service use in the 12 months prior to the 2017/18 survey was significantly lower for men (27.0%) than women (38.1%);
 - Unlike other cultural sectors, public library use by people in the Black and Asian ethnic groups is significantly higher than for people in the White ethnic group.

b) Book purchasing

- UK consumers spent 6% more on books in 2016 than in the previous year, with young generations of consumers fueling the growth;
- Bookshops retained largest share of book sales in volume terms at 42%, followed by e-tailers, which increased by 1 percentage point to 32%. In terms of value bookshops had a 45% share of the spend in 2016, down from 46% in 2015. E-tailers remained at 34% between the two years;
- 2016 digital book sales accounted for 15% of UK publishers' total digital and physical book sales, down from 17% in 2014 and 2015.

Financial Challenge

18. The Communities and Wellbeing Service is continuing to respond to the financial challenges which the local authority faces in contributing to the Medium Term Financial Strategy (MTFS). Further savings of £1 million are set out in the 2019/20 MTFS and are expected by 2022/23.
19. The net budget for Communities and Wellbeing for 2019-20 is £5.3 million and this will reduce to £4.9 million by 2022/23. This will further reduce library staffing capacity but maintain the current network set out in paragraph 2 above.
20. As an opportunity to lay the foundations for a future service with limited resources, the service needs to meet the challenge of sustaining a service which complies with its statutory obligations whilst reshaping its services to release inward investment to grow areas of its offer and address some of the CIPFA reporting.

Strategic direction

21. Taking the information summarised in this report the service can draw some broad strategic pointers in moving forward and inform choices that may be taken in developing the library service. These are set out in the table below:

Options	Why?	Advantages	Disadvantages
Continue to deliver traditional services.	Libraries are a universal service free at the point of delivery.	Libraries accessible to all.	Reduced resources mean poorer levels of service provision across the board.
Plan for a bolder channel shift from physical loans to e-loans and invest in book stock accordingly, targeting working age adults.	E-loans are a growth area for the service.	Availability of the service 24/7 for people who cannot get to the library in scheduled hours.	E-loans currently represent a small percentage of physical loans
Continue to develop the investment in children's and family related book stock across the physical	Current evidence has suggested that targeted investment in specific stock areas	Libraries become increasingly family friendly.	Other areas of the library offer may decline.

Options	Why?	Advantages	Disadvantages
environment of the library network to enhance the family and children's experience of visiting the physical library.	<p>boosts loans.</p> <p>Evidence suggests that people are more likely to use libraries if they have children.</p>	Opportunity to grow loans in this area.	
Reshape the design of libraries with more focus on becoming family friendly.	<p>Libraries use traditional furniture to set out its offer.</p> <p>More attractive shelving and furniture offers are increasing</p>	Presents an opportunity to make the library more of an informal space to attract families.	Other areas of library use may decline.
Develop a value-based methodology for measuring the impact of libraries as a contributory element of other metrics.	<p>Traditional, volume-based analysis does not measure the impact that libraries have on people's lives</p> <p>Libraries do not have the resources to grow volume</p>	<p>Enables the service to better demonstrate its value when resources are scarce.</p> <p>May lead to opportunities where libraries are commissioned to undertake activities that contribute to areas such as loneliness and wellbeing.</p>	Difficult to measure with the frequencies traditionally associated with volume metrics.
Increase use of volunteers to support library activity.	Builds on existing strong volunteer base.	<p>Volunteering has positive benefits to personal health and wellbeing.</p> <p>Enables local communities to shape library services.</p>	<p>Perception that traditional services are being replaced by volunteers.</p> <p>Demographic challenges to sustaining volunteering levels.</p>

Resource Implications

22. Since April 2012/13, the Communities and Wellbeing Service has implemented changes to deliver £4 million of savings from a mixture of efficiencies and service reductions across the service, a reduction of 43%. Further savings of £1million are set out in the 2019/20 MTFs and are expected by 2022/23.
23. The net budget for 2019-20 is £5.3 million and this will reduce to £4.9 million by 2023. Plans are in place to deliver this saving by 2023.

24. The options outlined in paragraph 21 will present a significant challenge to the service unless it can realise internal investment from its existing resource, or lever in external resource for time limited and special projects. The options are not mutually exclusive but would need prioritising to assist the service in focussing its efforts.

Creating investment opportunities

25. In pursuing the options, set out in paragraph 21, a range of options that would need to be explored more fully have been devised:
- a) A review of the mobile library service. Use of mobile libraries is declining, and a review to reshape this could release between £50,000 - £100,000 to reinvest in the service;
 - b) Reduction of the network of County Council funded libraries;
 - c) Exploration of the viability of community management of some of the network;
 - d) Reconfiguration of targeted libraries as learning centres attracting income from the Adult Learning Service. Income of £165,000 is currently generated through additional classroom space in libraries;
 - e) Exploration of investment opportunities that may arise from the work arising from the County Council's Strategic Outcomes Framework. This may lead to targeted commissioned and time limited activity that would build capacity to deliver against wider County Council strategic ambitions, such as decreasing loneliness, improving mental wellbeing and providing targeted information resources;
 - f) Increase the amount of SMART library hours across the network.
26. Further work on the viability of these options would be required in order to take an informed decision and would need to take into consideration the statutory responsibilities of the local authority.

Conclusions

27. Leicestershire's library service has been successful in sustaining services whilst meeting the financial challenges that all authorities are facing. It needs now to explore how it can release resource in order to re-invest in services.

Background Papers

Report to Cabinet: 19 September 2014 - Outcome of Consultation on Proposals for Changes in the Delivery of Library Services
<https://bit.ly/2Tz11C7>

Report to Cabinet: 6 July 2018 – Community Managed Libraries
<https://bit.ly/303Nqn7>

Circulation under the Local Issues Alert Procedure

28. None.

Relevant Impact Assessments

Equality and Human Rights Implications

29. Any development that requires significant change to existing services has the potential to differentially impact on people with protected characteristics, for example, children and older people, and would therefore require an Equality and Human Rights Impact Assessment.

Appendices

Appendix A – Performance by Theme and Quartile Table - Libraries

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Performance by Theme

Theme
Libraries

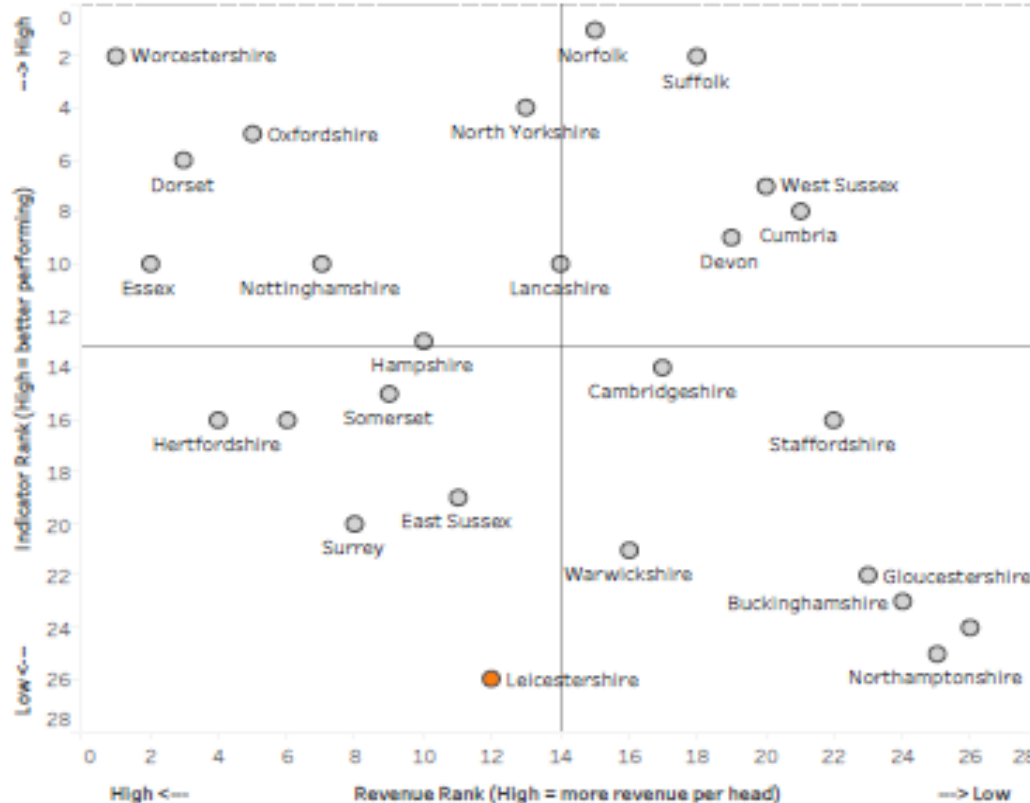
Comparator
 Revenue
 Deprivation

How to Read This Chart

The chart is divided up into quadrants based upon average rank for all indicators (vertical axis) and net revenue expenditure per head (horizontal axis) for two-tier county councils. Authorities in the top right quadrant are high performing and low spending, while authorities in the bottom left are low performing and high spending. The 'Deprivation' comparator uses local authority 2015 Multiple Deprivation rank.

'Overall Performance' is the rank of average rank for all indicators, while 'LA Core Performance' only includes themes that are related to county council functions;

- Adult Social Care
- Better Care Fund
- Children's Social Care
- Corporate
- Early Years & School Places
- Libraries
- Public Health
- SEND
- Transport & Highways



Source: LAIT, ASCOF, Fingertips, various, 2019. Produced by the Business Intelligence Service, Leicestershire County Council, 2019.

Quartile Table

Libraries	Audio, Visual, Electronic and Other Issues per 1,000 Population	3
	Total Number of Electronic Workstations available to Users per 10,000 Population	3
	Number of Volunteer Hours per 10,000 population	4
	Number of Hours Recorded for use of People's Network Terminals per head of popn	4
	Visits for Library Purposes per 1,000 Population	4
	Book Issues per 1,000 Population	4
	Book stock per 1,000 Population	4
	Number of Active Borrowers per 1,000 population	4
	Number of Hours Available for use of People's Network Terminals per head of popn	4



ADULTS AND COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE
2 SEPTEMBER 2019

DEPRIVATION OF LIBERTY PROTECTION SAFEGUARDS

REPORT OF THE DIRECTOR OF ADULTS AND COMMUNITIES

Purpose of report

1. The purpose of this report is to provide the Committee with an update on how the Deprivation of Liberty Safeguards (DoLS) Service manages the assessment and authorisation process for individuals whom require DoLS authorisation.
2. The Committee will also receive a summary of the key changes regarding the implementation of Liberty Protection Safeguards which are due to replace the current DoLS on 1 October 2020.

Background

Current situation

3. The County Council receives an average of 1,000 DoLS referrals each quarter from residential/nursing homes and hospitals for assessments to establish if a person is subject to a deprivation of their liberty; that the support they receive is the least restrictive option; and that such support is in their best interest.
4. As part of a Service Level Agreement, the County Council's DoLS Service also manages Rutland Council's assessments and authorisations. The referrals for Rutland Council are approximately 50 per quarter.
5. Since the 2014 Supreme Court Judgement (Cheshire West) which clarified the threshold for what care and treatment amounts to an individual's deprivation of liberty, there has been a national backlog of assessments waiting to be completed.
6. In June 2018, the County Council, including Rutland Council's DoLS backlog figure was 1,316. There has been an emphasis on reducing this using independent Best Interests Assessors and the figure as at 16 August 2019 was 436. The DoLS Service will continue to take steps to clear this number in advance of implementation of LPS.
7. The Council will continue to apply the Association of Directors of Adult Social Care Services (ADASS) tool for triaging assessments and allocating them to Best Interests Assessors in order of priority.

Policy Framework and Previous Decisions - Legislative Change

8. In May 2019, the Mental Capacity (Amendment) Act was given Royal Assent. The Act makes changes to the way in which DoLS assessments and authorisations are undertaken and this will be known as the Liberty Protection Safeguards (LPS). Key points arising from this amendment include:

Topic	DoLS – Current requirements	LPS – Future requirements
Scope	Over 18's.	Applies to individuals over 16 who lack capacity to consent to the care arrangements and have a mental disorder.
Settings	Care homes and hospitals.	Wide range of settings – not limited to care arrangements in a care home or hospital setting.
Assessment and Authorisation Process	Different process for community and building based settings.	Single process for all settings.
Responsible organisation	Local authority is responsible for DoLS authorisations regardless of setting.	Will depend on the location of the care arrangements (for further details see paragraph 9 below).
Best Interests Assessor	Not all assessments will require a Best Interests Assessor, some may be completed by the staff involved in the delivery of the care a person receives, so long as they have sufficient skills and there is no conflict of interest.	Best Interests Assessors will convert to Approved Mental Capacity Professionals (AMCP). Individuals who are objecting to their residence, care and/or treatment will receive an assessment from an AMCP. All other assessments are expected to be completed by appropriately skilled health and social care professionals.
Advocacy	Independent Mental Capacity Advocates (IMCA) are instructed to support individuals who are un-befriended during the assessment process. Once the care arrangements are authorised the cared for person has either a Relevant Person's Representative (who can be a family member or friend) or a Paid Person's Representative (PPR) contracted by the local authority to provide advocacy and uphold their rights during the authorisation.	The Responsible Body is required to take all reasonable steps to appoint an IMCA to represent and support the individual while the arrangements are authorised or being proposed however there is no reference at present to the role of PPR. This suggests we will need to review our Contracts with the PPRs and IMCAs to be ready for this change.

9. The identity of the Responsible Body is determined as follows:

- If the arrangements are carried out mainly in an NHS hospital, the hospital manager will be the Responsible Body;

- If the arrangements are carried out mainly in an Independent hospital, the responsible local authority will be the Responsible Body;
 - If the arrangements are outside of a hospital setting but carried out mainly through the provision of NHS Continuing Healthcare by a Clinical Commissioning Group (CCG), the Responsible Body will be that CCG;
 - The responsible local authority for individuals where that local authority is responsible for the Education, Health and Care Plan; where the individual has needs for care and support which are being met under Part 1 of the Care Act 2014 and any circumstances where the individual receiving care is ordinarily resident within that local authority will be the responsible body for the purposes of the LPS.
 - Individuals who are objecting to their residence, care and/or treatment will receive an assessment from an AMCP. All other assessments are expected to be completed by appropriately skilled health and social care professionals.
10. The Code of Practice, which is expected to detail how the above will be implemented, has not yet been published. It is anticipated that a second draft will be released in spring 2020.

Anticipation of the New Legislation

11. In anticipation of the new legislation coming into force in October 2020 and supporting regulations, officers have begun considering how to prepare for and manage the changes.
12. It is worth noting that if the Code of Practice is not produced until Spring 2020, it is likely that the implementation date of the legislation could be delayed until Spring 2021 rather than October 2020.
13. ADASS have produced an information briefing on the types of considerations that should be included and this is helpful in scoping the County Council's requirements.

Resource Implications

14. Some Local Authorities have appointed Project Managers specifically for implementation of LPS. However, the County Council is going to assign this work to one of the existing DoLS Service Managers, as they have the knowledge of the current and proposed service requirements, working alongside the respective Assistant Director and Head of Service.
15. The County Council along with Leicester City Council chairs a Local Implementation Network (LIN) that was set up to manage the Mental Capacity Act 2005 and Deprivation of Liberty Safeguards Legislation in 2009. It is recognised that the Mental Capacity (Amendment) Act 2019 and Liberty Protection Safeguards will change the responsibility of Commissioners and so the Terms of Reference have been amended to include key partners. These are proposed to be approved by the Leicestershire, Leicester and Rutland (LLR) Safeguarding Adults Joint Executive Group, on 29 August 2019.
16. Key partners within the LIN will include representatives from each of the LLR local authorities, University Hospitals of Leicester NHS Trust (UHL), Leicestershire Partnership NHS Trust (LPT) and the CCGs. Officers hope to continue to have an

LLR approach to implementation and share Care Providers, AMCPs and Advocacy Services.

17. To scope the impact that the change of responsibility will have for Commissioners, currently we are triaging all the referrals received by type, as well as priority assessments and authorisations which would become the responsibility of hospital managers and CCGs when LPS is implemented.
18. As of 16 August 2019, there were 436 new referrals waiting to be assessed; 146 of these individuals are being cared for in an NHS hospital setting; 121 in UHL and 25 in LPT. There were 18 referrals that are the responsibility of Rutland Council.
19. There is currently a Service Level Agreement between the County Council and Rutland Council. The two local authorities are beginning to meet to discuss the impact that LPS may have on this. The DoLS Service is providing Rutland Council with monthly statistics of how many authorisations they have so that they can begin to scope their requirements as Responsible Body.
20. With regard to the requirements that the County Council will continue to be responsible for, the following work is being undertaken:
 - All DoLS assessments and authorisations are being completed within the DoLS Service wherever the setting is; this allows consideration of the number of individuals who will require assessment within new Legislation;
 - Scoping work will take place with Children and Family Services, including Looked After Children, Special Educational Needs and Children with Disabilities, to consider how many individuals who are approaching the age of Transition and whose care arrangements may require a DoLS assessment and authorisation;
 - Attendance at the LIN and East Midlands Forum for MCA and DoLS to maintain current knowledge of the changes.
21. The Director of Corporate Resources and the Director of Law and Governance have been consulted on the content of this report.

Equality and Human Rights Implications

22. An Equality and Human Rights Impact Assessment will be completed by the County Council in advance of the implementation phase of LPS.
23. The Equality Analysis completed by the Department of Health and Social Care in December 2018 indicated that LPS will be more streamlined and less intrusive than the existing system, and a more effective and proportionate way of ensuring Article 5 rights for all (protecting individuals' freedom from unreasonable detention, as opposed to protecting personal safety). It is expected that all people who lack capacity and need to be deprived of their liberty for their care or treatment will have the same access to the same protections, regardless of protected characteristic.
24. By putting the person at the heart of the system, and by extending access to the system, the LPS will advance equality of opportunity, especially for those with disabilities. The consultation process, involving families and carers, aims to improve the process for the person and can consider needs particular to protected characteristics.

25. Making the LPS process as straightforward as possible is an important factor in making sure everyone can access and use the system equally, regardless of age, disability or race.

Conclusions

26. The Committee is asked to note the content of this report and to receive a further report following receipt of the Code of Practice, which will also set out readiness for implementation of LPS for the County Council.
27. The DoLS Service is currently completing assessments and authorisations for all health and care settings.
28. The DoLS Service is monitoring referrals received in relation to their setting and commissioner so that the anticipated percentage that would transfer to another Responsible Body when the legislative changes can be determined.
29. The DoLS Service will continue to ensure that there are no assessments outstanding when LPS begins so that the transitions can be managed as seamlessly as possible.

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ADULTS AND COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE
2 SEPTEMBER 2019

LEICESTERSHIRE AND RUTLAND SAFEGUARDING ADULT BOARD
ANNUAL REPORT 2018/19

REPORT OF THE INDEPENDENT CHAIR OF THE LEICESTERSHIRE AND
RUTLAND SAFEGUARDING ADULT BOARD

Purpose of Report

1. The purpose of this report is to seek the views of the Committee on the draft Annual Report 2018/19 for the Leicestershire and Rutland Safeguarding Adults Board (LRSAB). Any comments or proposed additions and amendments will be addressed in the final report before it is published in October 2019.
2. The final report is the report of the Independent Chair who must publish an annual report on the effectiveness of safeguarding adults in the local area. This is a statutory requirement under the Care Act 2014.

Policy Framework and Previous Decisions

3. The LRSAB is a statutory body established as a result of the Care Act 2014. The main purpose of the LRSAB is to ensure effective, co-ordinated multi-agency arrangements for the safeguarding of vulnerable adults.
4. The Business Plan of the SAB for the period that this annual report relates to was considered by the Adults and Communities Overview and Scrutiny Committee on 5 June 2018.
5. The Business Plan of the SAB for the current year was considered by the Adults and Communities Overview and Scrutiny Committee on 11 March 2019.

Background

6. The Annual Report provides a full assessment of performance on the local approach to safeguarding adults in line with the requirements of the Care Act 2014.
7. The key purpose of the Annual Report is to assess the impact of the work undertaken in 2018/19 on service quality and on safeguarding outcomes for adults in Leicestershire and Rutland. Specifically it evaluates performance against the priorities that were set out in the LRSAB Business Plan 2018/19.
8. The Annual Report 2018/19 can be found in full at Appendix A to this report, and includes:
 - (i) A foreword from the Independent Chair;
 - (ii) A summary of the work and findings of the Board during the year;

- (iii) An overview of the Board's governance and accountability arrangements and local context;
- (iv) Two separate outlines of safeguarding adults performance, activity and outcomes for Leicestershire and Rutland;
- (v) Analysis of performance against the key priorities in the 2018/19 Business Plan;
- (vi) An overview of the Board's work on engagement, assurance, learning and development and training;
- (vii) The challenges ahead including the Business Development Plan Priorities for 2019/20.

Key Messages

11. The key messages from the LRSAB, specifically in relation to Leicestershire are:
 - a. Workers and agencies work well together to safeguard adults in Leicestershire;
 - b. A variety of multi-agency approaches exist that may work with vulnerable adults, but that don't always interact to get the full picture;
 - c. 'Making Safeguarding Personal' (MSP) is influencing practice across agencies and more people in Leicestershire have more say in the enquiries about their safeguarding;
 - d. Further work is required to understand how well vulnerable adults with particularly complex and challenging needs are safeguarded;
 - e. Good and consistent understanding of, and responses to, Mental Capacity remains a development need across the workforce;
 - f. The Board will continue to work together to foster a reliable, trusting culture in organisations and across our area and challenge and drive improvement in multi-agency safeguarding of adults.

Proposals/Options

12. The Committee is asked to consider the Annual Report and to make any comments or proposed additions or amendments. These will be addressed prior to the final version of the Annual Report being published.

Consultation

13. The Annual Report includes a summary of the consultation and engagement work which the SAB has carried out with the public, adults with care and support needs and with practitioners.
14. This report to the committee is part of the consultation on the Annual Report.
15. All members of the Boards and their Executive have had opportunities to contribute to and comment on earlier drafts of the Annual Report.

Resource Implications

16. There are no resource implications arising from this report, as this is a retrospective report. The LRSAB operates with a budget to which partner agencies contribute.
17. Leicestershire County Council contributes £53,590 to the costs of the LRSAB, 52% of the total budget of £102,152 in 2019/20. In addition it contributes £84,276 to the costs of the LRLSCB, 35% of the total budget of £243,419 in 2019/20, and hosts the Safeguarding Boards' Business Office.
18. Following anticipated funding reductions and agreement with Board partners, the Board budget for 2019/20 does not include funding for Safeguarding Adults Reviews (or Serious Case Reviews for the Safeguarding Children Partnership). These are to be funded through the reserves of the Safeguarding Boards/Partnerships, which are sufficient to cover current reviews underway. The Board has agreed that any additional costs would be covered proportionally by safeguarding partners.
19. The budget requirement for future years will be considered in parallel with consideration of the budget for the multi-agency arrangements for safeguarding children.
20. The Director of Corporate Resources and Director of Law and Governance have been consulted on the content of this report.

Timetable for Decisions

21. The Annual Report will be presented to the Adults and Communities Overview and Scrutiny Committee on 2 September 2019, the Cabinet on 13 September 2019 and the Health and Wellbeing Board on 26 September 2019. Any comments will be addressed prior to the final report being published in October 2019.

Background Papers

Report to the Adult and Communities Overview and Scrutiny Committee 5 June 2018.
<https://bit.ly/31SESjy>

Circulation under the Local Issues Alert Procedure

None.

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List of Appendices

Appendix A - Draft Leicestershire and Rutland Safeguarding Adult Board Annual Report 2018/19

Relevant Impact Assessments:

Equality and Human Rights Implications

22. The LRSAB seeks to ensure that a fair, effective and equitable service is discharged by the partnership to safeguard vulnerable adults. At the heart of the work is a focus on any individual or group that may be at greater risk of safeguarding vulnerability and the performance framework tests whether specific groups are at higher levels of risk.

Crime and Disorder Implications

23. The SAB works closely with community safety partnerships in Leicestershire to scrutinise and challenge performance in community safety issues that affect the safeguarding and wellbeing of individuals and groups, for example domestic abuse and Prevent. The SAB also supports community safety partnerships in carrying out Domestic Homicide Reviews and acting on their recommendations.
24. The LRSAB Annual Report includes analysis of performance in a range of areas relevant to the community safety agenda and the evaluation of performance will be shared with these partnership forums to ensure that both strengths and development needs are recognised and acted on.

Environmental Implications

25. The published LRSAB Annual Report will primarily be made available on-line in electronic form, rather than paper.

Partnership Working and associated issues

26. Safeguarding is dependent on the effective work of the partnership as set out in national regulation relating to the Care Act 2014.



LEICESTERSHIRE AND RUTLAND
SAFEGUARDING ADULTS BOARD
(LRSAB)

Annual Report

2018/19

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Independent Chair: Fran Pearson

Foreword

I feel privileged to have been appointed as the new independent chair of the Safeguarding Adults Board whose work is presented in this report. Although this report looks forward to the year we are currently in, it is in part about the impact of the Board during the year April 2018 to March 2019. I was not in post at that point, so it is my chance here to thank Robert Lake for his work as independent chair during that year.

Being curious, and asking for assurance that safeguarding work is genuinely effective, is at the heart of what we can all expect from Board members. During the year, organisations in Rutland and Leicestershire all stepped up and made their contribution to keeping adults, who are at risk of neglect and abuse, safe. This report gives more information not only on how they did that, but as importantly, how that was tested out by the Board.

A small survey of adults with care and support needs was carried out at the end of the year. There is more information on this in the report, but the overriding message was: what helps people in Rutland and Leicestershire feel safe is having someone around who they can talk to, and trust and rely on if they need help or support. It is our responsibility as a board to work together to foster that sort of reliable, trusting culture not just in organisations but across society as a whole. I look forward to working with you all to build on the Board's consistent work in this area during the past year.

Fran Pearson

Independent Chair of the Board.

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Summary

During 2018-19 the Leicestershire & Rutland Safeguarding Adults Board worked in line with the priorities in its business plan in order to improve safeguarding of adults with care and support needs in Leicestershire & Rutland. The Board:

- Tried a new approach to prevention of safeguarding need through links with community safety Joint Action Groups in Rutland
- Wrote guidance to support staff in assessing people's mental capacity in safeguarding work, based upon feedback from staff across agencies
- Updated thresholds for adult safeguarding and reviewed and updated multi-agency safeguarding
- Surveyed adults with care and support needs regarding their safety and ensured the experiences of adults are a key feature of our Board meetings.

The Board also worked on six Safeguarding Adults Reviews, which found learning relating to: Mental Capacity Act; Multi-agency processes; Domestic Abuse; Substance Misuse and; Clarity of plans. Work on these areas is underway and some will continue in future priorities of the Board.

From the Board's audits of practice, assurance reports and monitoring of performance information across agencies the Board has:

- Identified that agencies continue to improve in Making Safeguarding Personal (MSP).
- Identified that agencies are developing their own processes as well as working with partners to improve adult safeguarding.
- Found that further work is needed to make sure adult safeguarding and mental capacity are considered in some agencies commissioning and contract management.
- Started to look into concerns regarding safeguarding of adults with behaviour that challenges.
- Revised processes to make sure immediate risks in safeguarding cases are considered within 24 hours.
- Reviewed and improved the Vulnerable Adult Risk Management (VARM) process to support more agencies to be involved in and clearer actions be carried out in work to support those at risk of self-neglect.

The Board has shared its learning and developments regarding adult safeguarding through its newsletter, through its network of local agencies' training staff and through one-off training events, including a joint conference with the Leicester SAB and Local Safeguarding Children Boards.

All of the Board's work has influenced the Board's priorities for 2019-20 which are:

- More effective multi-agency meetings regarding vulnerable adults.
- Ensure Mental capacity is considered appropriately in safeguarding adults.
- Better recognise and respond as a partnership to criminal exploitation of adults.
- Find out how well work with vulnerable young people in transition to adulthood assists prevention of adult safeguarding need.

Board Background

Safeguarding Adults Board Arrangements

The Leicestershire & Rutland Safeguarding Adults Board (LRSAB) serves the counties of **Leicestershire** and **Rutland**. The SAB leads adult safeguarding arrangements and oversees and coordinates the effectiveness of the safeguarding work of its member and partner agencies

The Annual Report presented here sets out how effective the Board has been in delivering its objectives set out in its Business Development Plan. 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. The Board is supported by an integrated Safeguarding Adults and Children Executive Group that also serves the Leicestershire & Rutland Safeguarding Children Board and supports joined up approaches across Children and Adult Safeguarding in the area.

In 2018 the LRSAB appointed a joint Chair with the Leicester Safeguarding Adults Board (LSAB) and shares some subgroups with the LSAB working jointly across the two areas. Further join up was considered, but paused to take account of the impact of work to set the new Multi-Agency Safeguarding Arrangements for safeguarding children.

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 subgroups and Leicestershire County Council hosting the Safeguarding Boards' Business Office. The income and expenditure of the Board is set out on Page 21 of this report.

Independent Chair

The LRSAB is led by an Independent Chair. During 2018/19 Robert Lake worked as the Independent Chair for the Safeguarding Adults Boards in Leicestershire & Rutland and in Leicester City, but stepped down during the year due to health reasons. Fran Pearson has been appointed as the new joint Independent Chair for the two Boards from June 2019.

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 structure of the LRSAB and membership of the Board can be found on the Board's website www.lrsb.org.uk.

SAB Business Development Plan Priorities 2018/19

Priorities set by the LRSAB for development and assurance in 2018/19 were to:

- Prevent safeguarding need through building resilience and self-awareness in adults with care and support needs.
- Improve the understanding of capacity to consent and the application of the Mental Capacity Act across agencies
- Promote a better and more consistent understanding and use of adult safeguarding thresholds
- Ensure the work of the Safeguarding Adults Board is informed by adults with care and support needs

DRAFT

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.

Adult Safeguarding snapshot for Leicestershire:

- ▲ **551,802** adults live in Leicestershire¹.
- ▲ **4,810** safeguarding alerts (calls) to Adult Social Care
- ▼ **25%** of alerts became safeguarding (s42) enquiries
- ▲ **49%** of enquiries were substantiated, at least in part.
Financial abuse, Neglect and Omission and Physical Abuse remained the three most common categories of abuse.
- ↔ **756** alerts from the public.
- ▲ **78%** of people were asked about what they wanted to happen from the safeguarding enquiry.
- ▼ In **94%** of cases the persons desired outcomes were met, at least in part
- ▲ **99%** of people felt listened to in conversations and meetings with people about helping them feel safe
- ▼ **5%** of enquiries were ceased at the request of the individual
- ▼ **4,307** referrals for Deprivation of Liberty Safeguards (DoLS)
- ▼ **851** cases on the waiting list for DoLS
- ▲ **911** Paid Persons Representatives allocated to DoLS.

The number of calls to Adult Social Care from professionals regarding a safeguarding concern was greater than last year. The number of calls from the public regarding a safeguarding concern stayed at a similar level to last year.

For the second year running fewer of these concerns met the threshold for a safeguarding enquiry to be undertaken than in the previous year, however more of the enquiries that were carried out found that abuse probably took place (were substantiated, at least in part) than the previous year. The application of thresholds for safeguarding enquiries was assessed by Leicestershire County Council and found to be consistent.

Making Safeguarding Personal continues to be further embedded in safeguarding practice with a greater proportion of people being asked about what they wanted to happen from the enquiry regarding their welfare. A slightly lower proportion of these

¹ ONS mid-year population estimates 2017

people's desired outcomes were met this year than last year, though this was 94% of people. Fewer enquiries were ceased at the individuals request than last year.

The new safeguarding structure within Leicestershire County Council with the Safeguarding Adult Team working at the front end of the process has been analysed. The analysis so far has shown that people who may be at risk are being seen quickly; immediate risk is being managed; and the person is more quickly being referred to the appropriate service for either ongoing safeguarding enquiry or for other support where required and the safeguarding thresholds are not met. This approach may also be supporting the improvement in Making Safeguarding Personal indicators.

Leicestershire County Council and health providers have continued to review referral numbers and thresholds decisions regarding some safeguarding enquiries in health settings. This is part of under the agreed oversight process for these enquiries, and the agencies have also kept the oversight approach in general under review.

There was a decrease in the number of referrals for Deprivation of Liberty Safeguards (DoLS). The increase in service capacity for assessments has meant more DoLS have been authorised, which has led to a reduction in the waiting list for DoLS in Leicestershire.

More people for whom there has been an application for DoLS were allocated a Paid Persons Representative to advocate on their behalf in the assessment process than in previous years. Because of the increase in DoLS authorised this year this remained at 44% of all DoLS.

Leicestershire County Council have placed two Adult Social Care posts in the Trading Standards team to embed positive joint work with Trading Standards around prevention of financial fraud and scams.

Safeguarding Adults in Rutland

From its scrutiny, assurance and learning work the Leicestershire and Rutland SAB assesses that organisations are working well together in Rutland to safeguard adults with care and support needs.

Adult Safeguarding snapshot for Rutland:

31,709 adults live in Rutland.²

- ▲ **421** safeguarding alerts (calls) to Adult Social Care
- ▼ **14%** of alerts became safeguarding (Section 42) enquiries
- ▼ **35%** of enquiries were substantiated, at least in part.
'Neglect and Omission' is the most prevalent type of abuse, responsible for more than 50% of cases.
- ▼ **26** alerts from the public.
- ↔ **95%** of people were asked about what they wanted to happen from the safeguarding enquiry.
- ↔ In **94%** of cases the persons desired outcomes were met, at least in part.
- ↔ **15%** of enquiries were ceased at the request of the individual
- ▲ **238** referrals for Deprivation of Liberty Safeguards (DoLS)
- ▲ **15** cases on the waiting list for DoLS
- ▲ **89** Paid Persons Representatives allocated to DoLS.

Following reductions in the last two years the number of calls to Rutland Adult Social Care from professionals regarding safeguarding concerns almost doubled compared to the previous year. The number of calls regarding safeguarding concerns from the public reduced by a third.

A smaller proportion of the concerns raised met the threshold for a safeguarding enquiry to be undertaken than in the previous year and fewer of the enquiries that were carried out found that abuse probably took place (were substantiated, at least in part) compared with last year.

Making Safeguarding Personal remains well embedded in safeguarding practice with a high proportion of people being asked about what they wanted to happen from the enquiry regarding their welfare. A similar proportion of these people's desired outcomes were met this year as last year.

There was a continued increase in referrals for Deprivation of Liberty Safeguards (DoLS) and an increase in the waiting list for DoLS in Rutland.

² ONS mid-year population estimates 2017

More people for whom there has been an application for Deprivation of Liberty Safeguards (DoLS) were allocated a Paid Persons Representative to advocate on their behalf in the assessment process than in previous years. This was 53% of all DoLS, compared with 43% last year.

Following the change in numbers of alerts Rutland County Council trialled increased oversight of contacts in the form of managerial oversight in the screening of contacts, open Section 42 investigations and closures across adult social care. Through fortnightly meetings progress on all Section 42 enquiries and actions is monitored and followed up to avoid drift.

Rutland County Council's Rapid Response Assistant Care Manager and Senior Practitioner roles continue to respond quickly to concerns and go on to provide time limited, person centre outcomes for those adults who are deemed at risk of self-neglect and/or abuse. This service is non-means-tested to encourage those at risk of self-neglect to engage with support.

The Council has continued to develop its recording systems to support analysis of trends and themes and collate personalisation data.

Rutland County Council supports ongoing improvement and development of all practitioners within the Adult Social Care service in Rutland, including integrated Health colleagues through bi-monthly Safeguarding Continuous Professional Development (CPD) sessions. These sessions are consistently well attended and provide updates on SAB multi-agency audits, relevant case law, and practice updates. Workers are encouraged to present case studies for peer review and peer shared learning.

The service have developed a new forum for CPD in the form of 'Book Clubs' which each team holds monthly. This protected time allows practitioners to discuss research, articles, case studies and legal updates and develop their knowledge and practice.

Safeguarding Adults across Leicestershire and Rutland

Our partners provide assurance regarding safeguarding practice and development throughout the year to our Safeguarding Effectiveness Group, key points and developments are included in relevant sections of this report.

The Clinical Commissioning Groups (CCGs) have been working with GPs to support improved adult safeguarding practice of GPs. The CCG Safeguarding team has developed the Children's Safeguarding Quality Markers GP self-assessment tool to reflect adult safeguarding, supporting GPs to ensure they have robust adult safeguarding arrangements in place. In addition, the team has developed a safeguarding adults template for the GP electronic records system which supports GPs in documenting information relating adults at risk and safeguarding concerns. This also acts as an aide memoire to ensure risks are managed and Making Safeguarding Personal principles are employed to ensure a high quality of safeguarding referrals which have the service user at the centre.

Looking forward the CCG will lead work on developing an integrated health safeguarding meeting, improving community health services involvement in safeguarding enquires and improving safeguarding training opportunities for CCG staff and GPs.

The Police are leading a project to develop an Adult Safeguarding Hub to support effective partnership working. the project team has begun to meet with partner agencies to shape a joint vision for the project.

A dedicated Adult Social Care MARAC (Multi-Agency Risk Assessment Conference) post has been established across Leicester, Leicestershire and Rutland. The MARAC process specifically supports high-risk victims of domestic abuse and this post will ensure Adult Social Care Services engage effectively with the MARAC and support effective joint working around domestic abuse and adult safeguarding.

University Hospitals of Leicester NHS Trust have seen a 40% increase in internal safeguarding adult contacts. This suggests a greater awareness of staff to recognise and respond to potential safeguarding concerns.

The Trust has broadened the remit of the agencies safeguarding committee structure to have oversight of people with learning disability and dementia with a commitment to continually improve services. It has also revised the Trust website to help members of the public access up to date information about the Trust's safeguarding services.

Business Development Plan Priorities

Progress on the Board's priorities is outlined below.

SAB Priority 1 – Prevent safeguarding need through building resilience and self-awareness in adults with care and support needs.

Our plan said we would assess the development of the Joint Action Group (JAG) as a forum for prevention and develop further community awareness raising regarding safeguarding adults. We also planned to gain assurance that the needs of young people requiring additional support into adulthood are reviewed and supported in a timely and preventative way through that transition.

The development of the pilot approach to effective multiagency prevention work in local areas through an existing multi-agency group, Rutland Joint Action Group developed stronger links across partners which supported improved screening and triaging of cases inside and outside of the JAG to ensure people got the most appropriate multi-agency response. This will continue to be developed and will feed into our forward priority on effective multi-agency meetings.

We commenced scoping of transitions from child services to adult services and the potential for this to prevent future adult safeguarding need. This will be continued under the priority for 2019/20 shared with Leicester SAB.

SAB Priority 2 – Improve the understanding of capacity to consent and the application of the Mental Capacity Act across agencies

Our plan said we would look to understand specific reasons why staff struggle to confidently implement the principles of the Mental Capacity Act (MCA) and will develop partnership approaches to demystifying mental capacity and support effective assessments in future.

We assessed staff confidence regarding MCA through a survey across partner agencies capturing views of 145 staff and managers. From this we developed draft guidance for decision making in safeguarding enquiries for all agencies, taking into account the views expressed by frontline staff. We plan to finalise the guidance and launch it in 2019.

SAB Priority 3 – Promote a better and more consistent understanding and use of adult safeguarding thresholds

Our plan said we would review and revise our Safeguarding Adults Thresholds document and communicate this well across partners.

We revised the thresholds and launched them at a multi-agency SAB conference in November 2018. We produced a briefing pack to be used in team meetings across partner agencies to raise awareness and support understanding.

Our thresholds guidance document has been used as the basis for the agreed East Midlands regional approach and has been adopted by other areas.

We will test application of the new thresholds through our multi-agency audits.

SAB Priority 4 – Ensure the work of the Safeguarding Adults Board is informed by adults with care and support needs

Our plan said we would work with advocacy agencies and existing engagement and participation groups in partner agencies to set up the Board approach for engagement and participation in the priorities and work of the Board.

We also planned to review Making Safeguarding Personal (MSP) approaches locally through available data and information from each partner as to their work to embed MSP.

We have presented an individual adult safeguarding case study at each Board meeting to focus the Board on the experience of vulnerable adults we are working to safeguard.

We carried out a survey of vulnerable adults to identify what affected their safety and feelings of safety and made contact with advocacy agencies. A representative from an advocacy agency attended our January 2019 Board meeting as an observer.

We reviewed data available regarding MSP from across agencies, identifying that not all agencies collect data, but are able to demonstrate a variety of approaches in place to support the application of MSP in their specific settings.

Operation of the Board

Partner and Public Engagement and Participation

Partner Engagement and Attendance

The Board met three times during 2018/19 as it met in April 2019 rather than March 2019. The membership of the Board can be found on the Board's website www.lrsb.org.uk. Almost all partners attended all or the majority of Board meetings during the year and sent apologies for those they missed.

Engagement with the Criminal Justice Sector improved this year, the Community Rehabilitation Company attended two meetings and sent apologies to the other, however there was no attendance from the National Probation Service to any SAB Board meetings during the year.

The Prison Service are now more involved in the Board with a representative from a local prison. Operational matters have prevented them from attending the Board regularly, but they have been involved in the Board's priority setting. The Board will develop engagement following consideration of the recommendations from the Association of Directors of Adult Social Services (ADASS) survey of SAB and prison engagement.

There was no attendance from care or voluntary sector representatives this year.

All agencies consistently engage well in the subgroups of the Board. The Police, CCG and Local Authorities all provide Chairs for these groups.

The new Independent Chair of the Board will engage with agencies to ensure appropriate attendance to support the Board to be effective.

Public Engagement & Participation

The Board contacted partners to identify opportunities to link in with existing engagement work.

A small survey of adults with care and support needs was carried out at the end of the year through SAB partners. The survey focussed on what supported people to feel safe in order to influence the work of the SAB. Responses were received from 33 adults.

The major factor for supporting people to feel safe was having people around they could talk to and trust and rely on if they need help or support.

Things in the community were the main areas that made people feel unsafe – including unknown/loud/drunk people or groups of young people, but also environmental factors relating to mobility, such as inconsiderate road and pavement users and pavement works and street lighting.

This highlights the importance of considering and addressing isolation, but also how all agencies consider the needs of the most vulnerable people in providing their services.

Engagement will continue to be developed in the normal business of the Board.

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 Board raised a challenge with safeguarding partners regarding Transforming Care and safeguarding.

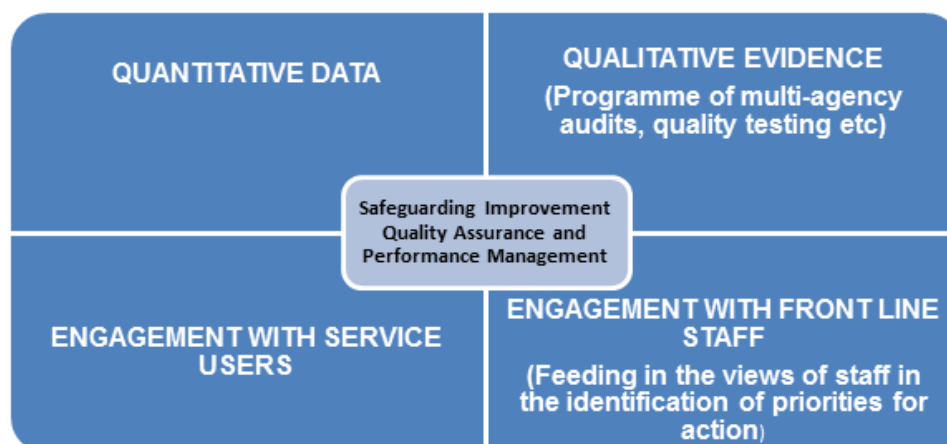
Transforming Care is a national programme that started in 2015, to try and make sure people with learning disabilities and other particularly complex and challenging needs, are treated as near to their own home as possible and not in remote specialist settings.

A report on Transforming Care identified that the project was behind target for individuals transferring into the community. The Board wrote to the Transforming Care Plan Board to seek assurance that individuals under Transforming Care approaches are safe now and future arrangements are in place to maintain safety.

Following this challenge assurance reporting regarding people considered under Transforming Care approaches was set up during 2019 along with greater understanding of the governance arrangements for this group of adults.

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.



Audits

During 2018-19 the SAB, along with Leicester 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. The SAB had considered alternative approaches but identified this approach as providing the assurance required.

The following agencies that work in Leicestershire or Rutland provided a SAAF audit return to the SAB:

- Leicestershire County Council Adults and Communities Service
- Rutland County Council People Directorate
- Leicestershire Police (Including Office of the Police and Crime Commissioner)
- Leicestershire Partnership NHS Trust
- Leicestershire & Rutland Fire and Rescue Service
- University Hospitals of Leicester NHS Trust
- West Leicestershire and East Leicestershire & Rutland Clinical Commissioning Groups (as one response)
- Leicestershire & Rutland Public Health
- All seven District Councils in Leicestershire (as one response)

Audit returns from all of these agencies identify that they are 'effective' or 'excelling' across all or the majority of the compliance questions that are relevant to them, however more areas were identified as working toward effectiveness than last year, mainly due to the new or revised questions.

The agencies and areas of work where further improvement was required were as follows:

- The Office of the Police and Crime Commissioner are working towards effectiveness with regard to Safeguarding Adult leads advising and supporting commissioning and evidencing their commissioned providers have embedded the Mental Capacity Act in safeguarding.
- Leicestershire & Rutland Fire and Rescue Service are working towards effectiveness with regard to a link to prevent in Safeguarding adults policy and systems for collating carers/service users views and concerns
- Clinical Commissioning Groups are working towards effectiveness with regard to incorporating Making Safeguarding Personal (MSP) in safeguarding strategy planning and delivery, involvement of service users in strategy discussions, dissemination of SAB 'Trilogy of Risk' materials, processes to ensure immediate action to implement protective measures for safeguarding and evidencing their commissioned providers have embedded the Mental Capacity Act in safeguarding.
- Leicester Partnerships NHS Trust (LPT) and District and Borough Councils are working towards effectiveness regarding dissemination of SAB 'Trilogy of Risk' materials.
- Leicestershire & Rutland Public Health are working towards effectiveness with regard to embedding safeguarding adults in contracting and procurement, including assurance that providers have robust safeguarding adults standards and processes and Safeguarding Adult leads advising and supporting commissioning.

The agencies and areas of work areas that were excelling were as follows:

- Leicestershire County Council are excelling in leadership of safeguarding adults, reporting on safeguarding adults in commissioning assurance and accountability and process for effectively contributing to reviews.

The SAB process for SAAF compliance assurance will be reviewed in 2019/20 to consider a direct challenge element.

In addition to its SAAF process the Board continued its multi-agency case file audit approach. During the year two safeguarding multi-agency case file audits were planned focussing on the following priorities:

- Strategy Meetings
- Vulnerable Adults Risk Management (VARM) approach

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, or by the local authority for provider agencies to prevent any potential bias.

The VARM audit was carried out in two parts, the first focussing on identifying cases and the second considering progress and outcomes.

The key findings of the strategy meeting audit were that:

- In the majority of cases, single agency strategy discussions rather than multi-agency meetings were held, and therefore opportunities for multi-agency input were potentially being lost. This was partially due to the need to assess and address immediate risk within 24 hours.

- Immediate risk was being clearly assessed by most, but not all agencies in all cases.
- There were no cases where the person involved, or their advocates were directly involved in strategy discussions or meetings, in one case the person had been invited to the meeting. In one third of cases there was evidence of discussion by the lead agency with the person or their advocate within the early stages of the enquiry.

Following this audit, processes were altered to ensure immediate risks were considered within 24 hours and all agencies were invited to a strategy meeting within five days. This has resulted in key agencies such as the police being invited to and involved in more strategy meetings supporting better multi-agency safeguarding.

Agencies were asked to follow up with their own assurance and reported back to the Board by the end of the year that processes have been changed and internal assurance was showing that immediate risks were now being considered in all cases. There are a number of factors that mean that involvement of individuals in strategy meetings is not appropriate or difficult, however the Board were concerned this did not become a default position and therefore followed this up in the SAAF.

The VARM audit found that in most cases criteria were applied appropriately, correct agencies were invited to the initial VARM meeting, initial action plans were appropriate, and individuals were aware of the VARM. The follow up found that in most cases risks were reducing and VARM cases were being closed, and practitioners and managers found the VARM approach useful.

For a notable proportion of cases (30-50%) not all the necessary agencies engaged in the process from the outset, individuals had not been effectively engaged in the process, and actions were not as specific as they could be as the process developed.

The audit process identified and recommended a number of improvements from specific findings be addressed in the review of the VARM process, which has now taken place.

The audit also identified improvements could be made with regard to assessing Mental Capacity – this has been fed into the work on the Mental Capacity Guidance under this Board's priorities.

Agencies have taken away these learning points to embed this within their practice. Audits regarding the application of the Mental Capacity Act and Thresholds and regarding Financial Abuse are planned for 2019/20.

Learning and Improvement

Safeguarding Adults Reviews and other Learning Reviews

The Board carries out Safeguarding Adult Reviews regarding vulnerable adults who have died or been seriously harmed. These reviews consider how agencies worked together and identify how we can improve working together to safeguard vulnerable adults in future.

The Board commenced three Safeguarding Adults Reviews and one alternative safeguarding adults review during the year. Two of these had been referred to the Board in the previous year, but had been awaiting the outcome of other processes before commencing.

The Board worked on two other reviews that had commenced in the previous year and completed one of these reviews. The other review related to a particularly complex case and is nearing completion.

The harm factors identified in cases reviewed during the year were:

- Mental ill health
- Suicide
- Substance misuse
- Neglect
- Lack of Mental Capacity
- Domestic abuse, present with mental ill health and substance misuse.

The learning emerging from cases reviewed during the year included:

Theme 1 – Understanding Mental Capacity: In cases reviewed evidence of application of the Mental Capacity Act was not always available. 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. Staff should be clear who is assessing capacity and what the impact of lack of capacity is on daily living and should make good records of decision making.

Theme 2 – Join up across different multi-agency processes. In complex cases many different multi-agency processes may be underway regarding the case, such as community safety, domestic abuse, care plan approach, child safeguarding and adult safeguarding. Improve operation of multi-agency meetings and assessment processes to support understanding of the full picture of needs and risks for an individual and support join up of activity.

Theme 3 – Understanding Domestic Abuse: 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 – The impact of Alcohol misuse: Supporting people who misuse drugs and alcohol can be challenging, complex and unpredictable. Staff should additionally consider resources and expert advice available and how they may be accessed, including information for children of parents who misuse alcohol.

Theme 5 – Clear plans: The need for clear ‘end of life’ care plans, understood by all concerned, including methods of hydration.

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. While learning and actions are managed by the Community Safety Partnerships., this arrangement allows a clearer collaborative picture of things that affect safeguarding. Three DHRs were underway at the end of the year.

Development Work and Disseminating Learning

The SAB produces a quarterly newsletter in conjunction with the Safeguarding Children Board, called Safeguarding Matters. This is used to disseminate key messages including from reviews and audits across the partnership and to front-line practitioners. Findings from reviews are reflected in the themes of Safeguarding Adults training events.

Learning has also been shared through the Board's Trainers Network and single agency internal and single agency internal processes.

Co-ordination of and Procedures for Safeguarding Adults

In addition to work on Safeguarding Adults Thresholds outlined under the Board's priorities. The Board has carried out an extensive review and update of its multi-agency procedures for safeguarding adults. This involved partners and incorporated views of practitioners and resulted in a refreshed streamlined online manual to support individuals to refer to and use the procedures more effectively.

Alongside this, guidance on the Vulnerable Adults Risk Management (VARM) tool has been revised from the findings of the VARM audit and procedures around County Lines (drug-related exploitation) relating to vulnerable adults has been developed.

Future work planned includes:

- A framework for multi-agency meetings
- Procedures around adult criminal exploitation

Training and Development

The Competency Framework for safeguarding adults in Leicester, Leicestershire & Rutland sets out minimum competencies and standards across the adults workforce and gives advice as to how practitioners can meet these requirements through learning, development and training. This supports practitioners, managers and organisations to ensure a good level of competence across the partnership workforce with regard to safeguarding adults.

The SAB commenced a review of the competency framework at the end of the year, the revised framework will be launched in the Autumn of 2019.

The Board provides some multi-agency training, but due to limited resources much of the multi-agency safeguarding adults training is provided through individual agencies training programs, such as Leicestershire County Council.

The Board linked with the Leicester and Leicestershire & Rutland Safeguarding Children Boards to deliver a Safeguarding Conference incorporating the following cross-cutting themes:

- Adverse Childhood Experiences (ACEs)
- The importance of participation and the voice of the child
- Coercive Control
- Mental Capacity Act 2005

This was a successful event with 103 participants across the partnership agencies from adult's and children's services, and across LLR. The evaluations showed that staff from all areas had found the information given was interesting and relevant.

The SAB, through its Safeguarding Effectiveness Group regularly requests information from its partners regarding the effectiveness of their safeguarding training programmes. Partners have provided assurance that they are providing up to date training to staff to improve safeguarding awareness and address specific areas of need. Specific areas covered by agencies include Prevent in University Hospitals of Leicester (UHL) and Leicestershire Partnership Trust (LPT). Leicestershire Fire & Rescue Service (LFRS) have completely redesigned their training and completed roll-out the new safeguarding training package to all public-facing staff.

The Board supports a Safeguarding Adults Trainers Network across Leicester, Leicestershire and Rutland, which met four times during the year 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 and develop their organisations approach in light of national and local developments in practice and procedures and learning from reviews (national and local). The Network also supports dissemination of information and awareness raising materials such as Safeguarding Matters, Leaflets and training events.

Feedback from the group has been sought on the review of the Competency Framework and development of guidance regarding the Mental Capacity Act.

Leicestershire & Rutland SAB and LSCB Finance 2018-19

	£
SAB Contributions	
Leicestershire County Council	52,798
Rutland County Council	8,240
Leicestershire Police	7,970
Clinical Commissioning Groups (West Leicestershire and East Leicestershire & Rutland)	15,930
University Hospitals of Leicestershire NHS Trust	7,970
Leicestershire Partnership NHS Trust	7,970
Total SAB Income	100,878
LSCB Contributions	
Leicestershire County Council	83,061
Rutland County Council	52,250
Leicestershire Police	43,940
Clinical Commissioning Groups (West Leicestershire and East Leicestershire & Rutland)	55,760
Cafcass	550
National Probation Service	1,348
Derbyshire, Leicestershire, Nottinghamshire and Rutland Community Rehabilitation Company (Reducing Re-offending Partnership)	3,000
Total LSCB Income	239,909
Total Income (LSCB & SAB)	340,787
	£
SAB and LSCB Operating Expenditure	
Staffing	210,469
Independent Chairing	25,867
Support Services	30,500
Operating Costs	12,935
Case Reviews (SAB)	15,505
Case Reviews (LSCB)	13,461
Young Peoples Advisory Group (LSCB)	1,736
Training Co-ordination and Provision (LSCB)	39,600
Total SAB & LSCB Operating Expenditure	350,073
Deficit	£9,286
LSCB & SAB Reserve account at end of year	£41,760

Business Plan Priorities 2019-20

Review and analysis of learning, performance information and emerging issues have led the Board to identify the following priorities for 2019-20:

Development Priority	Summary
1. Effective Multi-Agency meetings	Multi-agency meetings regarding vulnerable adults are effective in supporting safeguarding adults and prevention of safeguarding need. This will consider the adaptation of the 'Signs of Safety' methodology for safeguarding adults.
2. Mental Capacity	Be assured that people without capacity to consent are being safeguarded in current practice and with the introduction of Liberty Protection Safeguards.
3. Adult Criminal Exploitation	Improve the recognition and co-ordinated partnership response to criminal exploitation of adults.
4. Safeguarding in Transitions	Be assured that work with young people who have been assessed as requiring additional support to reduce risk and vulnerability assists prevention of adult safeguarding need.

Action plans are in place for each of these priorities.



ADULTS AND COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE
2 SEPTEMBER 2019

ANNUAL ADULT SOCIAL CARE COMPLAINTS AND
COMPLIMENTS REPORT 2018-19

REPORT OF THE DIRECTOR OF ADULTS AND COMMUNITIES

Purpose of Report

- 1 To provide members of the Committee with a summary of the complaints and compliments for adult social care services commissioned or provided by the Adults and Communities Department in 2018-19. The annual report is attached as Appendix A.
- 2 The Committee is asked to note the report and invited to make comments.

Policy Framework and Previous Decisions

- 3 The Committee last received a report on complaints and compliments on 11 September 2018. This report covered the year 2017-18 and the Committee requested that reports continue to be presented on an annual basis.

Background

- 4 The Department has a long standing statutory duty to have a complaints process in place for adult social care. The Local Authority Social Services and National Health Service Complaints (England) Regulations 2009, effective from 1 April 2009, introduced a two stage process with flexible investigation methods and timescales to suit the nature and complexity of the complaint. If the complainant is unhappy with the outcome after stage one, they can ask the Local Government Ombudsman (LGO) to investigate.
- 5 The regulations provide a framework for those handling a complaint relating to a local authority's social care functions - this includes directly provided services and independent services provided through commissioning.
- 6 The actions, omissions or decisions of the local authority in respect of a social care function are covered; the regulations do not, however, apply more generally to independent providers.
- 7 People who are paying for their own social care (self-funders) may complain to the local authority, for example, about assessment or failure to assess. Services people have arranged or purchased themselves are not covered but the local authority could be challenged if it commissions those services, for example, why it has

commissioned a sub-standard service, or whether it is performance managing contracted services sufficiently.

- 8 The Adults and Communities Department is contacted on a daily basis by service users, carers and other interested parties to share concerns, request information or seek clarity on care arrangements. These queries are dealt with at a local level within care teams or through the Director's office without recourse to the formal complaints process. The complaints team do, on occasion, also receive queries and concerns that suggest an adult requires immediate support or that raise safeguarding concerns. Such reports are best handled outside of the formal complaints procedure and are referred into the Customer Service Centre or allocated workers for urgent consideration as appropriate.
- 9 Under these regulations, there is a further requirement to produce an annual report that reviews the effectiveness of the complaints and compliments procedures and provides a summary of statistical information. The attached report fulfils this requirement and presents a summary of the complaints handled in 2018-19.
- 10 Complaints and compliments about other aspects of the Adult and Communities Department are reported separately as part of the corporate complaints process.

Key Points

- 11 There was a small decrease in the number of complaints received in 2018-19 compared to the previous year (173 compared to 186). This marks the first decrease in numbers since 2016-17.
- 12 When complaint volumes are set against the context of overall numbers in receipt of long-term support during the year (9,626), it is clear that a very small percentage go on to make a formal complaint (173 complaints which equates to approximately 1.8%).
- 13 For complaints resolved during 2018-19, the proportion where fault was identified was almost identical to previous year (74 complaints or 43%, compared to 77 or 42%).
- 14 During the year, the Local Government and Social Care Ombudsman assessed or investigated 11 new complaints (approximately 6% of the total volume). This figure is not directly comparable to last year's data due to changes in the way the Ombudsman record data.
- 15 The Ombudsman published Final Decisions on 13 complaints during the year (an increase of two). Fault was found in five instances, an increase from last year (two). Details for each of the cases appear within the appended report.
- 16 During the year an additional "review" step was added to adult social care procedures. This has further strengthened decision making and should ensure any fault is identified and remedied appropriately at a local level and prior to Ombudsman involvement
- 17 This additional step has had some implications to timescales for responding to complaints. 101 (46%) of complaints were resolved within 10 working days (92 or

54% in 2017-18) with 150 (79%) resolved within 20 working days. Importantly no complaints exceeded the maximum time allowed (65 working days).

- 18 The most common complaint theme was again around assessments and care-planning. This is a broad area where complaints are often around professional decision-making.
- 19 There have been good examples this year of how systemic learning has been identified and implemented. In 23 cases (31%) where complaints were upheld, clear actions were highlighted by Investigating Managers that focus on improving future performance.
- 20 Case studies have been included within the annual report to demonstrate how complaints intelligence is driving process change through the department. These focus on three key thematic areas which have emerged during the year around safeguarding, direct payments and advice and information on charging.
- 21 Complaints training has continued through 2018-19 focused both on root cause analysis and improving the consistency and quality of responses. This is now a regular and on-going offer to all departments to ensure new managers can be quickly enrolled on this important learning.
- 22 134 compliments were received during 2018-19. Whilst slightly down on the previous year this continues to add balance to the annual report and recognise the good work that is also taking place across the department.

Recommendations

- 23 The Committee is asked to:
 - a) note the contents of the Adult Social Care Complaints Annual Report, covering the period 1 April 2018 to 31 March 2019;
 - b) provide comment and feedback on the content and analysis within the report.

Background Papers

Report to Adults and Communities Overview and Scrutiny Committee: 11 September 2018
 – Annual Adult Social Care Complaints and Compliments Report 2017/18 -
<https://bit.ly/31Cwncg>

Circulation under the Local Alert Issues Procedure

24. None.

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Appendix

Appendix A – Social Care Statutory Complaints and Compliments: Annual Report - April 2018-March 2019

Relevant Impact Assessments

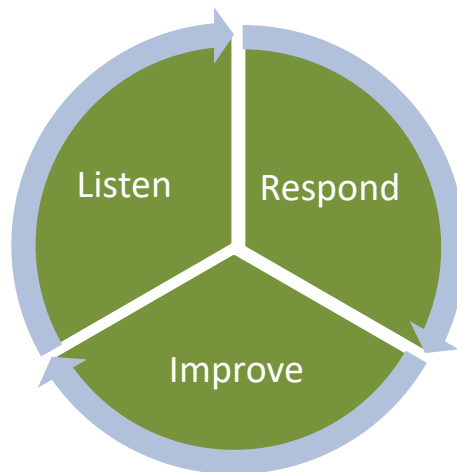
Equality and Human Rights Implications

- 25 The Adults and Communities Department supports vulnerable people from all the diverse communities in Leicestershire. Complaints and compliments are an important way of ensuring that service responses are fair and equitable to all sections of society. This report does not highlight any specific equal opportunities implications.

Partnership Working and Associated Issues

- 26 The National Health Service Complaints (England) Regulations 2009 places a duty to co-operate on local authorities and health organisations. During the year, two complaints were handled under joint complaints protocols. Whilst a significant reduction from the previous year, there is no clear evidence that protocols are not being adhered to by the respective organisations.

Adult Social Care



Statutory Complaints and Compliments Annual Report April 2018 – March 2019

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1. Purpose and Context of Report

1.1. Purpose & Scope

The purpose of this report is –

- To report to members and officers detailing Leicestershire County Council's (LCC) adult social care complaints and compliments activity from 1 April 2018 to 31 March 2019.
- To set out future developments and planned improvements.
- To meet the Council's statutory duty requiring the production of an annual report each year.¹

This report provides analysis and comment for Adult Social Care Services on all complaints managed under the statutory complaints process. Those complainants not qualifying under the statutory process have been considered under the County Council's Corporate Complaints and Compliments Annual Report presented to the Scrutiny Commission.

1.2. Background Context

The Adult Social Care Service sits within the Adults and Communities Department and both arranges and supports the provision of a wide variety of services.

This includes helping people to remain living independently in their own homes with increasing levels of choice and control over the support they receive. When this is no longer possible, the department supports residential or home care as well as having lead responsibility for safeguarding adults at risk of harm.

9,626² people received long-term support from the Social Care service during 2017-18. This figure is a 3.5% reduction from last year.

The department always aims to provide high quality services that meet the needs and circumstances of individuals and their families. The department actively promotes involving clients and carers in shaping services; using their skills and experiences to help ensure they meet customer needs. However, given the personal and complex nature of some adult social care services, sometimes things do go wrong.

The complaints process is a mechanism to identify problems and resolve

¹ [Statutory Instrument 2009 no.309 \(18\)](#)

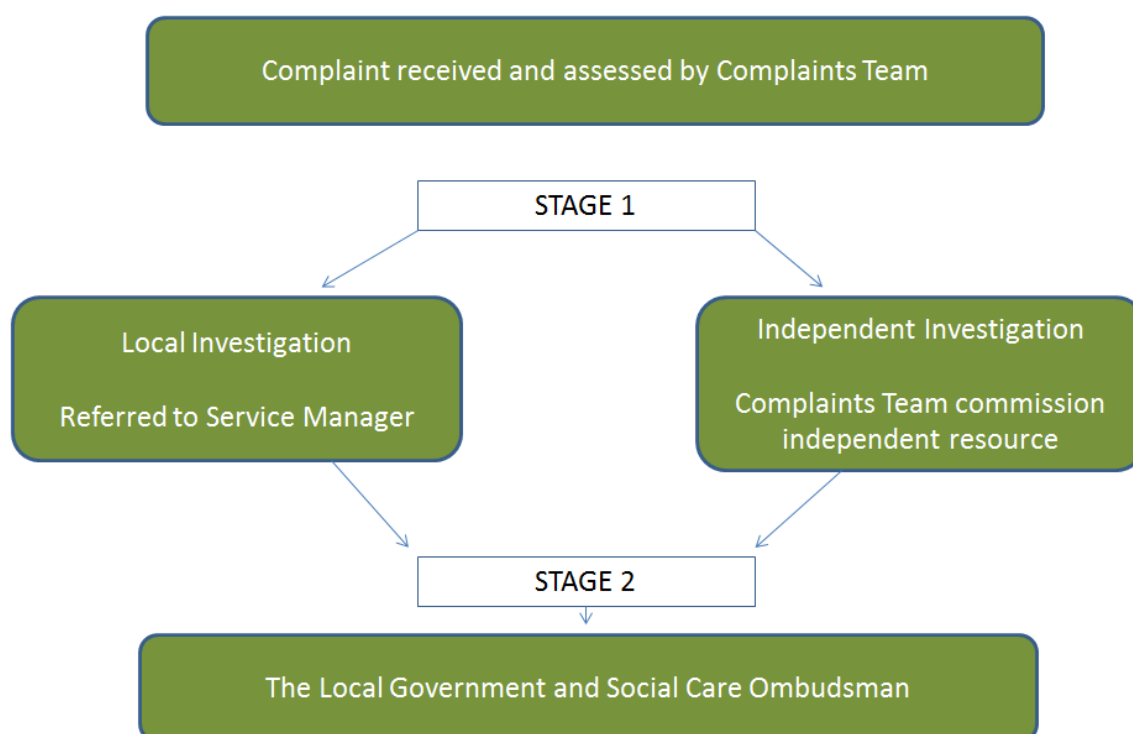
² Figures supplied by Performance and Business Intelligence Team

issues. If things go wrong or fall below expectation, the County Council will try to sort things out quickly and fairly. Learning from our mistakes and concerns that are raised is used to make changes and improve services.

Analysis of information about complaints received during 2017 -18 gives Adult Social Care an opportunity to reflect on both the quality of the services it provides and also consider how well it listens and responds to service users.

2. Adult Social Care Complaints Procedure

The Local Authority Social Services and National Health Services Complaints (England) Regulations 2009 outlines the statutory responsibilities of the County Council. This is broadly set out below:



The above procedure was designed to offer Local Authorities flexibility to resolve complaints in the most appropriate manner. Stage 1 resolution can therefore consist of a number of processes (for example meetings) but the Local Authority must not unduly delay finalising this process which should always be concluded within 65 working days.

During 2018-19, no independent investigations were commissioned.

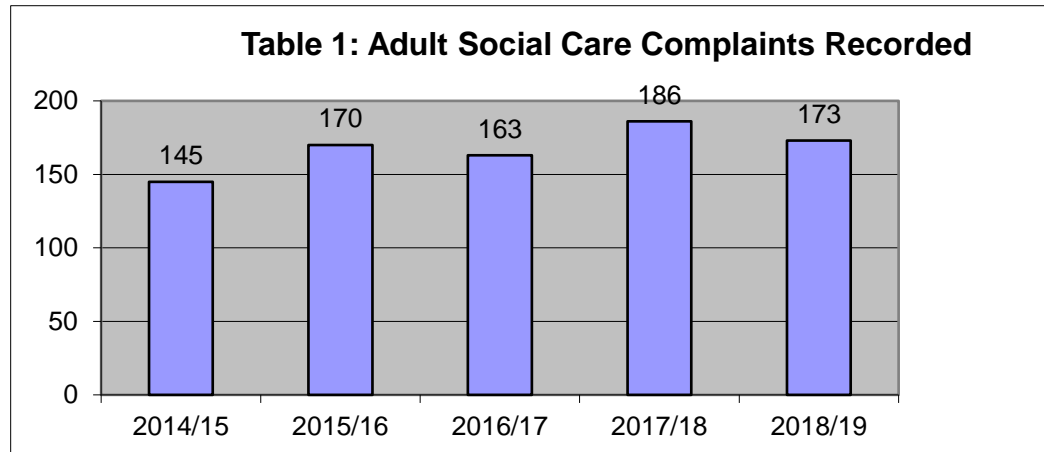
The Local Authority must advise all complainants of their right to approach the Local Government and Social Care Ombudsman should an agreed resolution not be found.

During 2018-19, the Council made changes to our local processes to add a “review” step within all Stage 1 responses. This followed learning from an Ombudsman complaint which and where the local response had not been sufficiently robust.

3. Complaints and compliments received 2018-19

3.1. Complaint Volumes

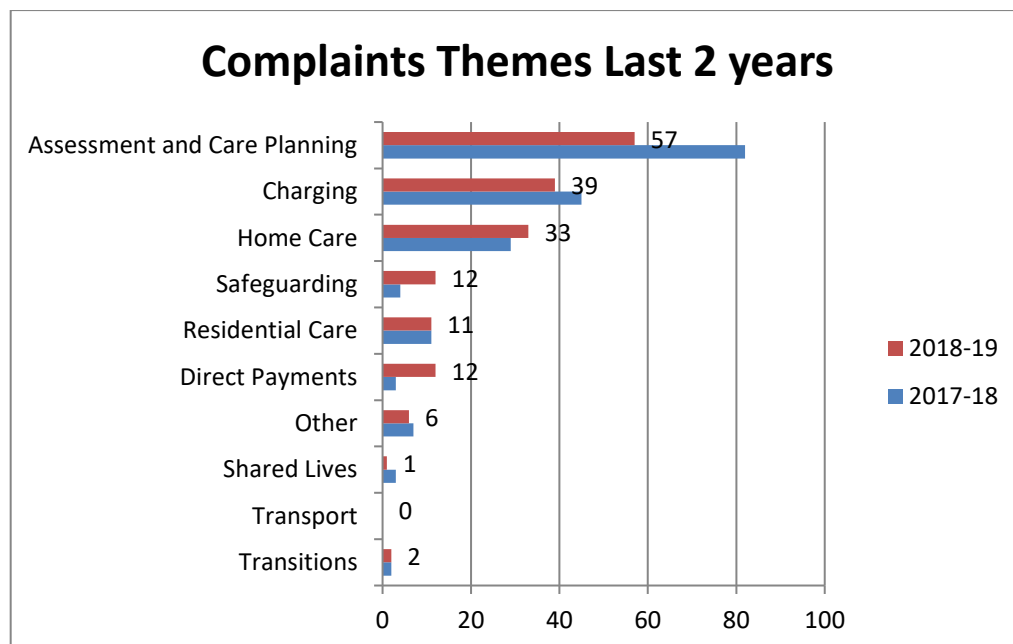
Table 1: Adult Social Care Complaints recorded over last 5 years



As illustrated above, the total number of social care complaints received this year dropped slightly from 2017-18. Adult Social Care was the only type of complaint to see a decrease during this period.

3.2. Complaints by Theme

Table 2: adult social care complaints by theme



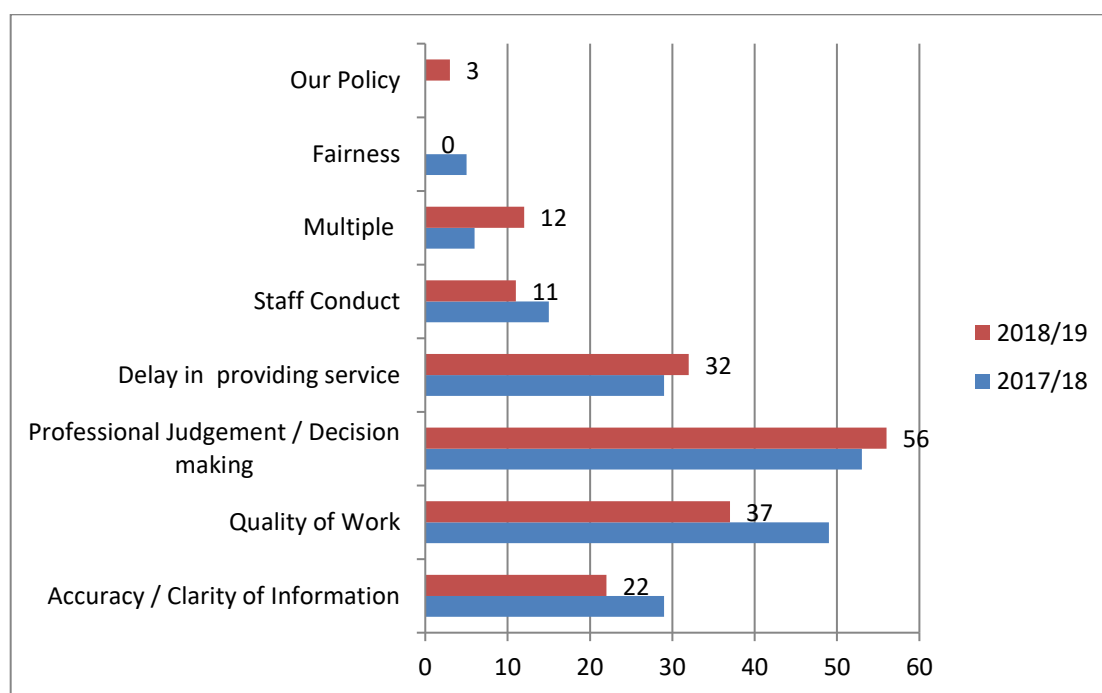
Complaints themes mirror the Local Government and Social Care Ombudsman classifications and can provide helpful insight as to the underlying topics that are generating complaints.

Unsurprisingly, the largest segment is also the broadest category around Assessment and Care Planning. This equates to 33% of the overall volume but represents an 11% decrease from last year.

The most notable changes from 2017-18 are the increases in Direct Payments complaints and Safeguarding complaints. These are discussed in more detail later in this report.

The Complaints team also undertake analysis of each complaint to try to understand the significant factor. This can help prioritise areas for the department to focus on improving. The results for 2018-19 are represented below along with comparative data for 2017-18.

Table 3: Complaint causes last two years



Decision making remains the highest single cause, with quality of work and delay making up the top three categories. This mirrors 2017-18 data.

There has however been a reduction in complaints citing Accuracy of Information. Largely this relates to a reduction in complaints regarding incorrect invoices and following significant work done within the department. This has been a regular theme in the last two annual reports and it is pleasing to see a reduction in this area.

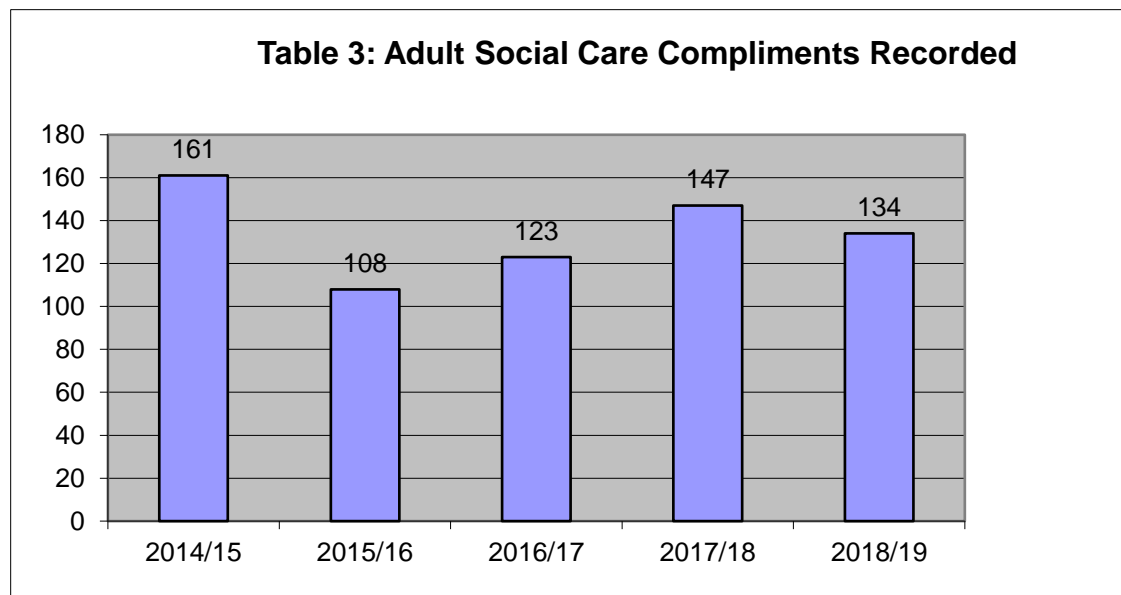
3.3. Joint Complaints

The Health and Social Care complaints regulations place a duty on Local Authorities to work together with health partners in responding jointly to complaints³. Leicestershire County Council accordingly has a joint complaints handling protocol, supported by a multi-agency group, which sets out common guidelines and approaches to this. Members include Leicester City Council, the Clinical Commissioning Groups, University Hospitals Leicester (UHL) and the Leicestershire Partnership Trust (LPT).

During the year 2018-19, just two complaints were considered using the Joint Complaints protocol. This is a significant decrease on last year (11)

3.4. Compliments received 2018-19

Table 3 below shows the long-term trend in compliments recorded.



There has been a slight decrease in compliments recorded during 2018-19. It is always important to recognise the good work that is being delivered by the department and to provide balance within the complaints annual report. For this reason, the complaints function does encourage the recording of un-solicited compliments which can either be submitted directly online or if received by council officers should be passed on for central recording.

³ [Statutory Instrument 2009 no. 309 \(9\)](#)

A small selection of the compliments received can be found in Appendix A. They show some of the ‘real-life stories’ where Adult Social Care makes a huge difference to peoples’ lives.

The Complaints team will continue to work closely with the department to try to reflect all the unsolicited feedback received across the teams and ensure visibility in annual reports.

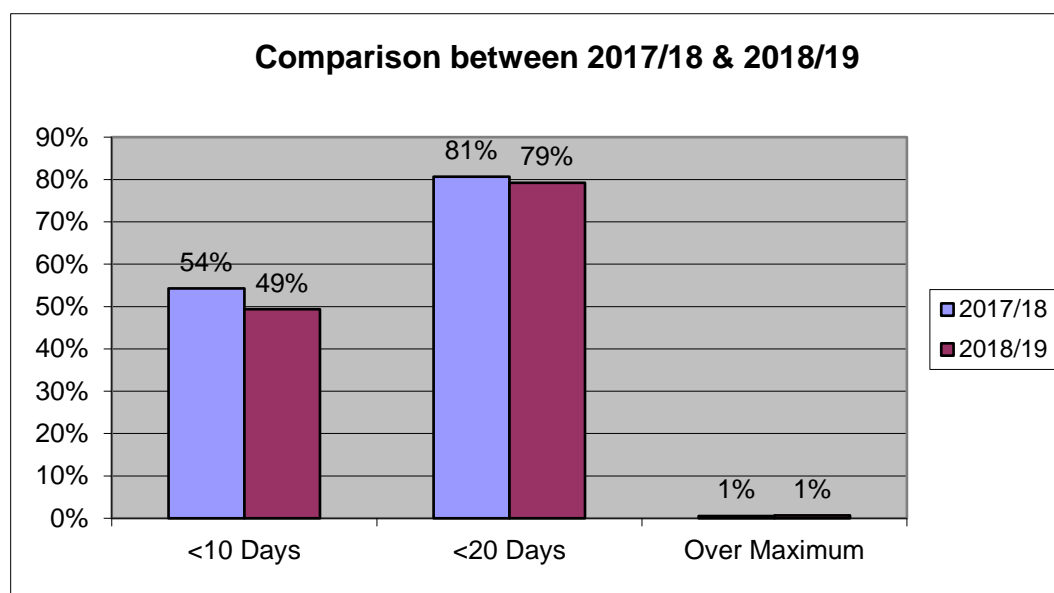
4. Complaints resolved 2018-19

The key performance indicators for speed of response, outcomes, causes and identified learning are linked to complaints that have been *resolved* within any given reporting period rather than received.

This is important as it ensures that full data sets are able to be presented, both to departments on a quarterly basis, and at year end. It also avoids the scenario whereby Ombudsman findings of maladministration might not appear in annual reports (where outcomes are not known at the time of production).

4.1. Responsiveness to complaints

Table 4: Adult Social Care Performance



There has been a slight drop in responsiveness to complaints during 2018-19, with a 5% reduction in those responded to within 10 working days. With 79% of all complaints responded to within 20 working days, this remains healthy performance across often complex subject matters.

As noted earlier in this report, changes this year to our procedures will have impacted on response times where the Council has offered a Head of Service review prior to referral to the Ombudsman. The Complaints Manager is considering how best to differentiate such cases in future reporting.

Whilst the statutory regulations give wide flexibility in terms of response times and allow up to 65 working days for complaints to be resolved, a key expectation of the public is that their concerns are dealt with promptly and this report provides good assurance of the department's commitment to this.

Just 1 complaint was not responded to within the statutory maximum timescale of 65 working days. This involved a retrospective safeguarding enquiry which required contributions from a care provider.

4.2. Complaint Outcomes

Table 5: Adult Social Care complaints recorded by outcome

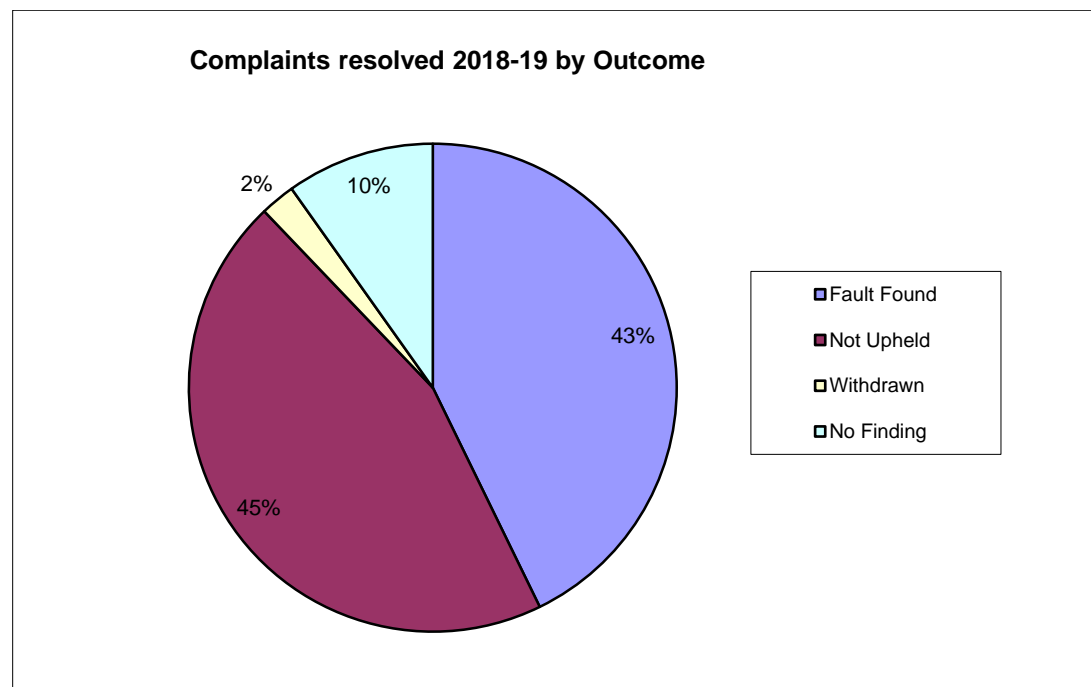


Table 5 above shows that 74 (43%) complaints were upheld. This is consistent with the previous year (42%)

5. Learning from Complaints

Complaints are a valuable source of information which can help to identify recurring or underlying problems and potential improvements. We know that numbers alone do not tell everything about the attitude towards complaints and how they are responded to locally. Arguably of more importance is to understand the impact those complaints have on people and to learn the lessons from complaints to improve the experience for others.

Lessons can usually be learned from complaints that were upheld but also in some instances where no fault was found but the Authority recognises that improvements to services can be made.

Occasionally during the course of an investigation issues will be identified that need to be addressed over and above the original complaint. The Complaints Team will always try to look at the “bigger picture” to ensure that residents receive the best possible service from the Council.

5.2 Corrective action taken

All of the 74 complaints where fault has been found have been reviewed by the Complaints Team to ascertain what action the relevant department has taken, both in remedying the fault, and any wider learning to avoid such issues occurring in the future.

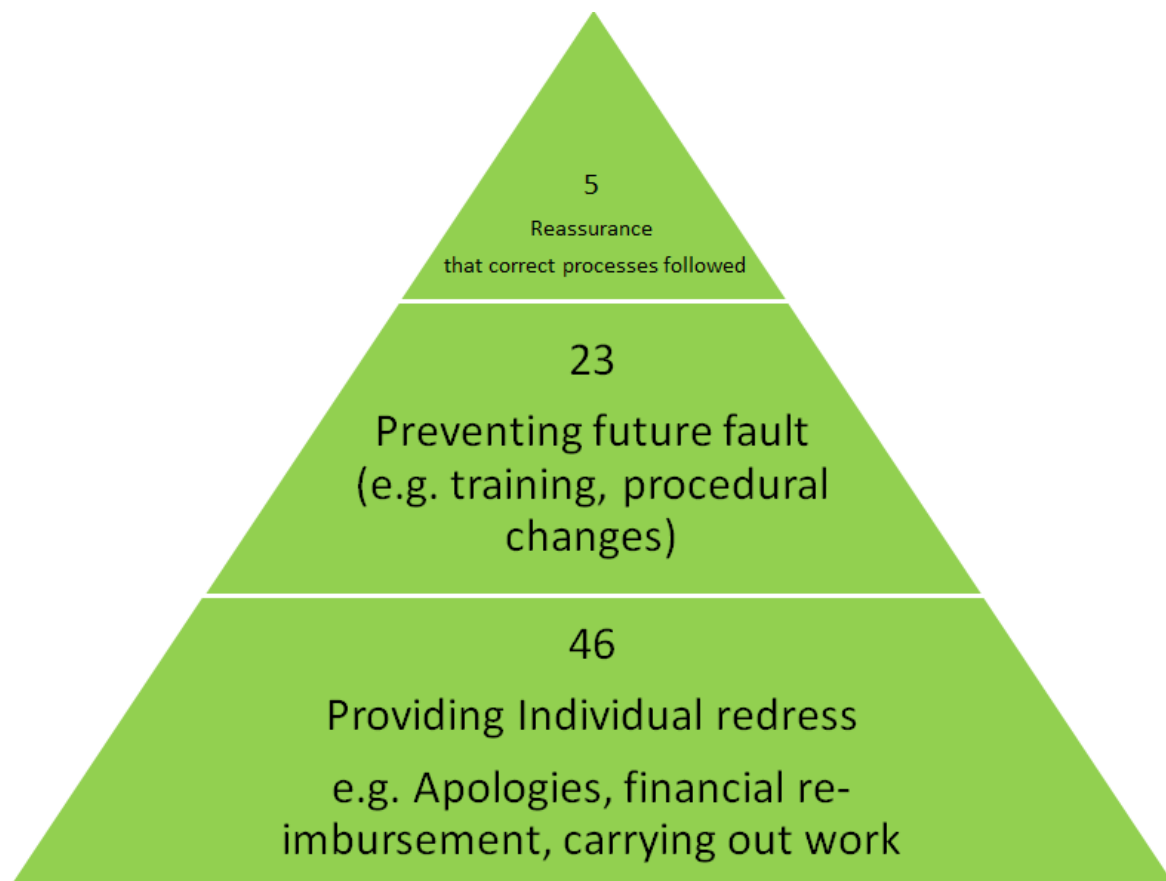
Remedial action typically consists of both individual redress (e.g. apology, carrying out overdue work) and wider actions that may affect many. On some occasions, fault has already been remedied so the complaints process is used to re-assure that appropriate action has been taken.

Table 8 (overleaf) depicts the actions taken during 2018-19. This shows that in 23 (31%) instances, clear actions were identified which should improve service for other members of the public. The most common of these is staff training but this category would include replacing faulty equipment, reviewing local policies and providing additional resources to help deal with demand.

In 14 instances financial redress was arranged to ensure that the complainant was put back in the position they would have been in had the fault not occurred. This is a vital part of the complaints process and this report provides re-assurance that managers are taking the appropriate action. Typically this is re-imburement of care costs where these had either been calculated wrongly or there was evidence that clear explanations were not given.

In 5 instances fault was identified in that, although the correct action was taken, there were opportunities to be clearer around the reasons why. In such cases re-assurances have been provided within the complaints response.

Table 8: Actions taken for upheld complaints 2018-19



6.1 Service Improvements during 2018-19

Research shows that a primary driver for making complaints is so that lessons can be learned and processes improved. It is also a key part of an effective complaints procedure to demonstrate this organisational learning so that in turn the public can feel confident that complaints do make a difference.

Case studies can be a powerful way of promoting this and to illustrate some of the positive action taken this year from complaints, several examples are set out below:

5.2.1. A's Story – Lack of contact following a Safeguarding referral

A contacted the Council to report her concerns that her mother had mentioned being slapped by a carer. After hearing nothing further some two weeks later she made a number of follow up calls to the Council but struggled to get any clear update.

Some calls later she managed to speak with a social worker who advised that after visiting her mother she did not want to take things further or make a complaint and the case was closed. A questioned whether she had the capacity to make this as an informed decision.

The Council's findings

The Council's investigations found a number of issues with the way this referral was handled. It was clear that as an individual making a referral A should have been spoken to after the visit to inform of the reason for closing the case. There were also issues with appropriate case notes being left which would have prevented further frustration when A contacted the Council later on.

There was also limited evidence to suggest that when visiting A's mother she was asked about whether or not she would like her daughter present at any safeguarding visit.

Actions taken

Following several complaints raising these and other related safeguarding themes, the department has undertaken significant work in the Safeguarding area and to improve our service. This includes:

- Introduction of a safeguarding core day which is mandatory for all staff working on safeguarding enquiries to try and ensure consistency in practice. There is a key focus on applying safeguarding thresholds consistently
- Safeguarding Team now focus on initial enquiry to help ensure a timely response in line with "Making Safeguarding Personal" principles and more consistent thresholds application
- Revised process guidance in place for Organisational Safeguarding and on-going work is being planned to support Locality Teams with this
- The roll-out of new training for Service Managers based on the Signs of Safety approach to assist managers in a more consistent and person-centred approach in managing safeguarding meetings and enquiries
- Vulnerable Adults Risk Management (VARM) guidance is being updated to provide further clarity around the process-this is reflected in on-going VARM workshops
- Plan with Legal Services to provide briefing to managers around legal report writing e.g for inquests, Court of Protection (COP) applications within safeguarding enquiries
- Mental Capacity Assessment (MCA) guidance templates are near to completion to assist with consistent and robust MCA assessments within safeguarding enquiries
- Audits are on-going, next in September will focus on application of MCA in safeguarding enquiries

5.2.2. J's Story – Confusion what Direct Payments can be used for

J was assessed as a carer and granted a monthly payment. She was led to believe that this could be used entirely flexibly to support her well-being. She received no support plan setting out any restrictions so used the monies on gym memberships, massages and other things. The Council, some two years later, sought to claw this money back.

The Council's findings

When investigating the complaint, the Council could not find any evidence that clear advice was given around the limits of what the payments could be used for.

This coupled with the length of time before anyone flagged the issues led to a decision that it would be unfair to seek to reclaim any monies spent.

Actions taken

There have been a number of similar cases this year and it is clear Direct Payments is an area where improvements are required.

To help generate these improvements a specific work programme was launched

The Improved Management of Direct Payments (IMDP) project has since implemented the following improvements:

- Launched new Direct Payment agreements which clarify roles and responsibilities regarding the Direct Payment.
- Provided guidance and training for all staff on using the appropriate Direct Payment agreement.
- Transferred all Service Users who manage their own DP onto the new agreement. Review team are transferring all Service Users with a Service User Representative during business as usual reviews.
- Developed Direct Payment Staff Guidance. All staff are being briefed on this guidance throughout May and June 2019. All staff will have their own copy of this guidance in July 2019. This will provide a single point of reference for DP queries and help to ensure consistency and best practice across Care Pathway and Finance.
- Developed 8 Service User Factsheets which help to explain DPs. Care Pathway staff will hand these to service users and families during the Support Planning stage. The Factsheets have been validated by a service user group.

5.2.3. D's story – Lack of clear information regarding charges

D contacted the Council as was frustrated with the length of time that it was taking to arrange payment of a carers grant which was approved some 6 months previously.

The Council's findings

The Council identified administrative issues which prevented the payment being made and issued an apology.

Actions taken

Support for carers was a theme of last years report and one where significant improvements have been made.

Despite these positive steps, work is continuing on improving the work with carers including:

- a renewed offer to carers
- streamlining of processes to improve carer experience
- reduction in times to process payments
- a revised training programme for staff and managers.

All the above has already demonstrated significant benefits this year with a significant reduction of complaints in this area.

7. Local Government Ombudsman

8.1 New complaints received by the Ombudsman 2018-19

As has been explained already, the statutory social care procedure is a two stage process with the Ombudsman as the second stage.

The Local Government and Social Care Ombudsman opened investigative enquiries of the Council on 11 complaints during the year. Due to a change in how premature enquiries are recorded this is not comparable to the data from 2017-18, but this represents approximately 6% of the overall complaints.

8.2 Complaints resolved by the Ombudsman 2018-19

The Ombudsman made decisions on thirteen cases during the year with fault being found in 5 cases (38%). This represents an increase from last year (20%)

Brief details for the five cases where fault was found appear below:

1. A complaint regarding a lack of clarity around charges for care and inadequate care provision by the commissioned provider

The Ombudsman found a number of faults including:

- A failure to share a copy of a care and support plan with the family
- That the care and support plan did not meet statutory guidance due to a lack of clarity on the personal budget and a lack of clarity regarding what was to be commissioned by the Council and what the Direct Payments should be used for.
- Inadequate care provision by the Home Care providers
- A lack of information given about other ways of delivering care

The Council accepted the decision and agreed to make a payment of £700 and outlined how it was addressing the issues raised.

2. A complaint regarding the Council's decision not to fund a health care package as it was more expensive than other providers and exceeded the personal budget

The Ombudsman criticised the Council for taking too long to deal with the complaint and that it failed to make clear why it would not consider an exception to our policy.

The Council agreed to make a formal apology for the length of time to resolve the matter and to take steps to remind staff of the importance of clearly explaining the rationale for decisions.

3. A complaint regarding the lack of clarity regarding charges on the Council's Shared Lives agreement

The Ombudsman found fault that the Council's Shared Lives licence agreement failed to sufficiently explain the financial contribution expected.

In response the Council issued an apology and agreed to review the Shared Lives Agreement which includes the addition of an Easy Read fact sheet.

4. A complaint regarding failure to adequately safeguard a vulnerable adult and inadequate support to help the individual with managing finances

The Ombudsman found no fault with the actions taken to safeguard the individual but determined that the Council could have done more by way of signposting and general advice around managing finances. The Complaints handling was also criticised in that the Investigating Manager was not considered suitably independent to carry out the investigation.

The Council agreed to undertake a retrospective financial assessment, correct some inaccurate advice given to another authority and issue a briefing note regarding complaints handling protocols.

5. A complaint regarding the Council not corresponding in Braille as requested

The Council had already accepted fault in our internal responses. The Ombudsman was satisfied with the actions already taken to address the complaint. This included procuring new braille identity cards, improving how special characteristics are flagged in our database and discussions with our 3rd party provider to improve the quality of Braille material.

For the remaining eight complaints

- In six cases the Ombudsman decided not to investigate, either because there was no evidence of any fault, or the complaint concerned matters outside of her jurisdiction.
- In two cases, the Ombudsman, after investigation, was satisfied with the actions the Council had taken.

The Ombudsman also monitors remedies being carried out by the Council where fault has been found and remedial actions proposed. Failure to carry out remedies within agreed timeframes is recorded as non-compliance and can lead to public reports being issued.

All 5 of the above cases were recorded as compliant (100%)

9. Monitoring the Process

The Complaints Team continues to support Adult Social Care Services to manage and learn from complaints. The key services offered are -

1. Complaints advice and support
2. Production of Performance Reports
3. Liaison with Local Government Ombudsman
4. Quality Assurance of complaint responses
5. Complaint handling training for Operational Managers
6. Scrutiny and challenge to complaint responses

Assistance continues to be routinely provided to Service Managers and other associated managers in drafting responses to complaint investigations. This helps ensure a consistency of response and that due process is followed.

Complaints training is also offered every quarter to managers and a number of social care managers took part in this training during the year.

Quarterly performance reports are produced and delivered at Strategic Leadership Team (SLT) and shared with the Lead Member for Adults and Communities. Over the last year every other quarter a more in depth discussion is held with SLT allowing for greater focus on emerging themes and actions that need to be taken.

During 2018-19, a Customer Satisfaction Performance Clinic was established in response to reduced satisfaction survey results. The Complaints Manager has assisted with this work on an advisory basis and will continue to work closely with the Customer Experience Improvement Lead and to ensure complaints data and intelligence is utilised fully.

10. Final Comments

In times of change and austerity it is vital that service users are provided with a complaints process that is easy to access and fair. This year's Annual Report shows that Adult Social Care does listen and provides a number of examples of how complaints intelligence directly drives and improves service delivery.

During 2019-20, significant work is taking place to review our Target Operating Model. This and other programmed work seeks to simplify processes and should see improvements in a number of areas highlighted within this report, particularly around Charging and Direct Payments.

Appendix A: Sample of compliments received 2018-19

- I just wanted to say huge thank you for your help-it's so much appreciated by my mum & dad & myself. I wish everyone within Social Services was as proactive, kind & helpful as you have been – **ADULTS CSC**
- You were extremely thorough and seemed to understand the situation the family were in during your review visit - **2 WEEK REVIEW**
- Please pass on all the family's thanks and appreciation for your recent help with respite stay – **OA CHARNWOOD**
- Compliments to your staff and especially F. In the family meeting yesterday. the way she handled the meeting and dealt with everything was first class – **OA HINCKLEY**
- Just wanted to let you know that the carers are fantastic...their help has been invaluable to me – **HART**
- Thanks to M for all your assistance with helping T confirm his place...we can all sleep easier now – **TRANSITIONS**
- I would like to draw to your attention the help that H has given me whilst I have been sorting out care for my mother & her husband... within half an hour all my concerns/worries had gone...I now had a clear understanding of how much support the Council would give and how much would be self-funded...H always has time for you and explains everything in a clear " non-complicated" way...At a time when you are looking for support and understanding he has stood out – **ADULT SOCIAL CARE FINANCE**
- I must commend the very high standard of the Best Interest assessment and Mental Capacity assessment undertaken by A – **DOLS**
- Thanks to T for all the support given to father before his death...exceptional care was provided - **OA Melton**
- We wish to thank the OT department for the outstanding care they have given. Thank you so much – **OT**
- Thanks for all your support during discharge from hospital...I would not have managed without you...It's an amazing service – **HOSPITALS**
- Thank you for providing such an excellent service. I am really impressed by your speed of your response and the clarity of the information that you have provided. – **ADULT SOCIAL CARE FINANCE**
- C is quite possibly one of the nicest and most professional officers that I have ever dealt with and a pleasure to work with her - **SAFEGUARDING**



ADULTS AND COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE
2 SEPTEMBER 2019

PERFORMANCE REPORT 2019/20 – APRIL-JUNE (QUARTER 1)

JOINT REPORT OF THE CHIEF EXECUTIVE AND
DIRECTOR OF ADULTS AND COMMUNITIES

Purpose of Report

1. The purpose of this report is to present the Committee with an update of the Adults and Communities Department's performance for the period April to June 2019.

Policy Framework and Previous Decisions

2. The Adults and Communities Department's performance is reported to the Committee in accordance with Leicestershire County Council's corporate performance management arrangements.

Background

3. The metrics detailed in Appendix A of the report are based on the key performance measures of the Adults and Communities Department for 2019/20. These are reviewed through the annual business planning process to reflect the key priorities of the Department and the County Council. The structure of Appendix A is aligned with the Vision and Strategy for Adult Social Care 2016-2020, '*Promoting Independence, Supporting Communities*'. This strategic approach is designed to ensure that people get the right level and type of support, at the right time to help prevent, reduce or delay the need for ongoing support, and maximise people's independence. This 'layered' model has been developed to ensure the obligations under the Care Act 2014 are met and Appendix B of the report outlines the four central aspects of the Strategy – Meet, Reduce, Delay and Meet needs.
4. Appendix A is also structured in line with the County Council's Strategic Plan 2018-22 – *Working Together for the Benefit of Everyone*. This sets out the Council's overall policy framework and approach, including a high-level overview of a number of strategies which provide the detail on how the authority plans to deliver positive change for Leicestershire.
5. The Adult Social Care indicators are a combination of national and local measures. At a national level, performance is monitored via the Adult Social Care Outcomes Framework (ASCOF). The Communities and Wellbeing service area does not have such a formal structure for performance monitoring at a national level. The measures included in this report have therefore been determined as local indicators.
6. Performance against ASCOF measures during 2018/19 will be published nationally in November, and a report comparing Leicestershire County Council's performance with

other local authorities will be reported to the Adults and Communities Overview and Scrutiny Committee in January 2020. Within the commentary below there are a number of occasions where an estimate is made of comparative performance at a national level.

7. A new approach was taken with targets last year. The majority were set for three years, i.e. by 2020/21, based on achieving a performance that would either be in the current top 25% of councils, or above the average of shire authorities. In addition, milestones have been set for the two intervening years and it is against the 2019/20 milestones that current performance has been compared.
8. Progress against the 2019/20 milestones is highlighted using a Red/Amber/Green (RAG) system and Appendix C sets out the description of each category.

Performance Update: April to June 2019 (Quarter 1)

9. Appendix A includes four key measures to reflect each of the four layers of the Vision and Strategy for Adult Social Care 2016-2020. Each of these monitor the proportion of new contacts from people requesting support and what the sequels of these requests were. During the period April to June there has been over 6,200 new contacts, a 6% reduction from the equivalent period last year.
10. The proportion of new contacts during this period resulting in a preventative response, such as universal services or signposting was 56%, whilst a further 20% resulted in a response relative to reducing need, such as providing equipment or adaptations. A further 13% resulted in a response relative to delaying need, for example the provision of a reablement service that supports people to relearn the skills required to keep them safe and independent at home. Finally, 11% resulted in a long-term service such as a personal budget.
11. The overall number of visitors to heritage sites during the first quarter of 2019/20 was 2.4% higher than the equivalent period of last year. This increase has been across various sites including the 1620s House and Garden, and Charnwood, Harborough and Melton Carnegie museums. However, visitors to Bosworth Battlefield continue to show a decline with visitors in quarter one being 9.6% lower than the equivalent period of the previous year.
12. There has been a national downward trend in the number of visits to libraries, including those in Leicestershire. As in previous years, the 2019/20 milestones were agreed with this in mind. During the first quarter however, there were over 280,000 visits to libraries (including website visits). This is a 7.8% increase on the equivalent period last year; due, in part, to the reduction in opening hours last year for work to adapt libraries to smart libraries.
13. An additional two libraries metrics are included to reflect the priorities around children's loans and e-loans. During Quarter 1, 168,000 children's loans were made, slightly lower than the equivalent period last year. E-loans continue to show a marked increase – 82,000 during the first quarter compared to 48,000 in the similar period last year.
14. The Leicestershire Adult Learning Service (LALS) performance relates to the proportion of learning aims due to be completed in a period which were successfully

achieved. For the academic year 2018/19 the current success rate is 95%, higher than the previous year and above the 86% target.

15. Volunteering programmes are a priority for the department in relation to libraries, museums and heritage services. During Quarter 1 there were 4,900 hours of volunteering at Heritage sites and 2,600 at libraries (not including community managed libraries). These are both higher than the equivalent period last year, although as already noted, the reduction in opening hours last year will affect this comparison.
16. ASCOF 1E measures the proportion of adults with learning disabilities who are receiving long-term services and are in paid employment. There is a strong link between employment and enhanced quality of life, including evidenced benefits for health and wellbeing. At the end of Quarter 1, performance was at 11.7% - similar to previous years which were in the top quartile nationally.
17. The nature of accommodation for people with learning disabilities has a strong impact on their safety, overall quality of life, and reducing social exclusion. At the end of Quarter 1, 81.8% of service users aged 18-64 (1,143 out of 1,397) with a learning disability were in settled accommodation and not in a care home. This is potentially above the latest national average, due to be published in the autumn.
18. Reducing delayed transfers of care from hospital is a national priority and is monitored through the Better Care Fund (BCF). During the first quarter of 2019/20 the number of days lost to delayed transfers of care attributable to adult social care was, on average, 181 per month. This is considerably higher than the monthly average of 94 days during 2018/19. Despite this increase during the recent period Leicestershire has remained one of the two best performing councils when compared with 15 similar shire authorities.
19. Between April and June this year, 85% of people (609 out of 716) who received reablement support had no need for ongoing services following the intervention. This level of performance is slightly higher than last year and currently above the 2019/20 milestone target of 82%.
20. A key measure in the BCF is the ASCOF metric which measures the proportion of people discharged from hospital via reablement services who are still living at home 91 days later. Performance is monitored through the year on a rolling three-month basis and of the 581 people discharged between January and March 2019 to a reablement service 90% were living at home 91 days later.
21. Avoiding permanent placements in residential or nursing care homes is a good indication of delaying dependency. Research suggests that where possible, people prefer to stay in their own home rather than move into permanent care. During 2018/19 there were just 22 admissions of people aged 18-64; performance that is likely to remain in the top quartile nationally. During quarter one of 2019/20 there were three admissions giving a full-year forecast of 15.
22. For people aged 65 or over the number of permanent admissions in 2018/19 was 877. Based on 143 admissions in the first quarter of 2019/20 the full-year forecast is 856 admissions, lower than last year, although slightly higher than the 2019/20

milestone of 'no more than 850 admissions'. Performance over the past few years has varied above or below the national average.

23. The County Council remains committed that everyone in receipt of long-term, community-based support should be provided with a personal budget, preferably as a direct payment. At the end of the first quarter of 2019/20 the proportion of people with a personal budget (95%) was slightly lower than both the previous years (96.7%) and the 97% milestone for 2019/20. On the other hand, the proportion with a direct payment (48%) was on track to meet the milestone. The equivalent performance for carers – 99.6% with a personal budget and 96.8% with a direct payment – are calculated cumulatively and for the latter performance is expected to increase throughout the year.
24. There were 218 safeguarding enquiries completed during the first quarter of 2019/20; 52% fewer than the equivalent period last year. This is to be expected due to a new focus of the Safeguarding team i.e. not progressing all cases to an enquiry without first triaging the contact more effectively to ensure thresholds are being met.
25. Developing a safeguarding culture that focuses on the personalised outcomes desired by people with care and support needs who may have been abused, is a key operational and strategic goal of the Care Act. Of the 76% of people (or their representatives) who were asked their desired outcome between April and June – and it was expressed – 94% stated that it was achieved.

Conclusion

26. This report provides a summary of performance at the end of Quarter 1 of 2019/20 covering the period April to June.
27. Of the 23 metrics where performance was 'RAG-rated' against the 2019/20 milestone - year two of a three-year target - there were 18 (78%) that were classed as 'Green' and on track to meet the milestone.
28. Two of the metrics not RAG-rated Green (Learning Disability Accommodation and Carers' Direct Payments) are both very close to the milestone, whilst of more concern, are the number of permanent admissions for people aged 65+ and the proportion of people with a personal budget. However, it is still relatively early in the performance year, and monitoring will continue monthly for all the key metrics noted in the report.

Background papers

- Adult Social Care Outcomes Framework - <https://bit.ly/2YSwLXa>
- Leicestershire's Better Care Fund Plan 2017/19 – Delivering our Vision for Health and Integration - <https://bit.ly/31HdQvC>
- Leicestershire County Council Strategic Plan 2018-22 - <https://bit.ly/2MjREDU>
- Leicestershire County Council Vision and Strategy for Adult Social Care 2016-20 - https://www.leicestershire.gov.uk/sites/default/files/field/pdf/2016/3/23/ASC_Strategy_2016_2020_0.pdf
- Department of Health NHS Social Care Interface Dashboard - <https://bit.ly/2slaiax>

Circulation under the Local Issues Alert Procedure

29. None.

Equality and Human Rights Implications

30. The Adults and Communities Department supports vulnerable people from all diverse communities in Leicestershire. However, there are no specific equal opportunities implications to note as part of this performance report. Data relating to equalities implications of service changes are assessed as part of Equality and Human Rights Impacts Assessments.

Other Relevant Impact Assessments

Partnership Working and Associated Issues

31. BCF measures and associated actions are overseen and considered by the Integration Executive and Health and Wellbeing Board.

Appendices

- Appendix A - Adults and Communities Department Performance Dashboard for Quarter One (April to June) 2019/20
- Appendix B – Adult Social Care Strategic Approach
- Appendix C – Red/ Amber/Green (RAG) Rating - Explanation of Thresholds

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Adults and Communities Performance 2019-20

April – June 2019 (Quarter One)

PREVENT NEED

Leicestershire County Council's Strategic Plan 2018-22	Wellbeing and Opportunity
Supporting Outcome	People are cared for at home, in their own community, whenever possible, and for as long as possible.

Measure and Description		Aim	RAG	2019-20 Milestone	2019-20 Q1 Performance	2020-21 Target	18/19 and Quartile	
Local	% of sequels that 'Prevent Need'	Target Band Width	G	56-61%	56.3%	TBC	56%	N/A
ASCOF 3D pt 1	% of SUs who find it easy to find information	H	N/A	73%	Due June 2020	74%	60%	Available Nov-19
ASCOF 3D pt 2	% of carers who find it easy to find information	H	N/A	No statutory carers survey in 2019-20	N/A	68%	60%	Available Nov-19

Leicestershire County Council's Strategic Plan 2018-22	Great Communities
Supporting Outcome	Cultural, historical and natural heritage is enjoyed and conserved

Measure and Description		Aim	RAG	2019-20 Milestone	2019-20 Q1 Performance	2020-21 Target	18/19 and Quartile	
Local	Heritage visits	H	G	146.1k	40.4k Q1 19/20	TBC	39.5k Q1 18/19	N/A
Local	Hours of Volunteering (Heritage sites)	H	G	16.0k	4.9k Q1 19/20	TBC	3.3k Q1 18/19	N/A

Measure and Description		Aim	RAG	2019-20 Milestone	2019-20 Q1 Performance	2020-21 Target	18/19 and Quartile	
Local	Hours of Volunteering (Libraries)	H	G	9.1k	2.6k Q1 19/20	TBC	1.7k Q1 18/19	N/A
Local	Library visits (inc. website visits)	H	G	970k	280.3k Q1 19/20	TBC	260k Q1 18/19	N/A
Local	All library issues	H	G	1.5m	461.7k Q1 19/20	TBC	441.3k Q1 18/19	N/A
Local	Children's issues	H	G	575k	168.1k Q1 19/20	TBC	171.4k Q1 18/19	N/A
Local	E-loans	H	G	160k	81.9k Q1 19/20	TBC	47.8k Q1 18/19	N/A
Local	Total community library issues	N/A	N/A	80.3k Q1 18/19	81.7k Q1 19/20	For information only		
Local	Community library children's issues.	N/A	N/A	41.4k Q1 18/19	43.2k Q1 19/20	For information only		

Leicestershire County Council's Strategic Plan 2018-22	Strong Economy
Supporting Outcome	Leicestershire has a highly skilled and employable workforce

Measure and Description		Aim	RAG	2019-20 Milestone	2019-20 Q1 Performance	2020-21 Target	18/19 and Quartile	
Local	LALS Success Rate	H	G	86%	95% (Academic year 18/19)	TBC	93% (Academic year 17/18)	N/A

REDUCE NEED

Leicestershire County Council's Strategic Plan 2018-22	Wellbeing and Opportunity
Supporting Outcome	People are cared for at home, in their own community, whenever possible, and for as long as possible.

Measure and Description		Aim	RAG	2019-20 Milestone	2019-20 Q1 Performance	2020-21 Target	18/19 and Quartile	
Local	% of sequels that 'Reduce Need'	Target Band Width	G	17-22%	19.7%	TBC	22%	N/A
ASCOF 1I pt 1	% of SUs who had as much social contact as they would like	H	N/A	47%	Due June 2019	49%	42.6%	Available Nov-19
ASCOF 1I pt 2	% of carers who had as much social contact as they would like	H	N/A	No statutory carers survey in 2019-20	N/A	35%	30.0%	Available Nov-19
ASCOF 1E	% of people with LD in employment	H	G	11.2%	11.7%	11.2%	11.3%	Available Nov-19

Leicestershire County Council's Strategic Plan 2018-22	Affordable and Quality Homes
Supporting Outcome	There is enough suitable housing to support independence for those with social care needs.

Measure and Description		Aim	RAG	2019-20 Milestone	2019-20 Q1 Performance	2020-21 Target	18/19 and Quartile	
ASCOF 1G	% of people with LD in settled accommodation	H	A	82%	81.8%	84%	81.3%	Available Nov-19

DELAY NEED

Leicestershire County Council's Strategic Plan 2018-22	Wellbeing and Opportunity
Supporting Outcome	People are cared for at home, in their own community, whenever possible, and for as long as possible.

Measure and Description		Aim	RAG	2019-20 Milestone	2019-20 Q1 Performance	2020-21 Target	18/19 and Quartile	
Local	% of sequels that 'Delay Need'	Target Band Width	G	10-15%	12.7%	TBC	13.0%	N/A
Local	Delayed transfers of care attributable to ASC-only	L	G	207 Ave days per Mth	181 Ave days per Mth	TBC	94 Ave days/Mth	Available Nov-19
ASCOF 2D	% of people who had no need for ongoing services following reablement	H	G	82%	85.1%	84%	84.4%	Available Nov-19
ASCOF 2B pt 1 <i>*BCF*</i>	Living at home 91 days after hospital discharge and reablement	H	G	88%	90.0%	89%	87.7%	Available Nov-19
ASCOF 2A pt 1	Permanent admissions to care (aged 18-64) per 100,000 pop.	L	G	<8.1 (33 Adm's)	3.7 (15 Adm's) (Full-year Forecast)	<8.1	5.3 (22 adm's)	Available Nov-19
ASCOF 2A pt 2 <i>*BCF*</i>	Permanent admissions to care (aged 65+) per 100,000 pop.	L	A	<585.0 (850 Adm's)	590.9 (856 Adm's) (Full-year Forecast)	<553.0	615.0 (877 adm's)	Available Nov-19

MEET NEED

Leicestershire County Council's Strategic Plan 2018-22	Wellbeing and Opportunity
Supporting Outcome	People are cared for at home, in their own community, whenever possible, and for as long as possible.

Measure and Description		Aim	RAG	2019-20 Milestone	2019-20 Q1 Performance	2020-21 Target	18/19 and Quartile	
Local	% of sequels that 'Meet need'	Target Band Width	A	6-11%	11.4%	TBC	10.3%	N/A
ASCOF 1C pt 1a	Adults aged 18+ receiving self directed support	H	A	97%	95.3%	99%	96.7%	Available Nov-19
ASCOF 1C pt 2a	Adult aged 18+ receiving direct payments	H	G	40%	48.0%	40%	49.2%	Available Nov-19
ASCOF 1C pt 1b	Carers receiving self directed support	H	G	99%	99.6%	100%	99.3%	Available Nov-19
ASCOF 1C pt 2b	Carers receiving direct payments	H	A	97%	96.8%	100%	98.1%	Available Nov-19

Leicestershire County Council's Strategic Plan 2018-22	Keeping People Safe
Supporting Outcome	People at the most risk or in crisis, are protected and supported to keep them safe

Measure and Description		Aim	RAG	2019-20 Milestone	2019-20 Q1 Performance	2020-21 Target	18/19 and Quartile	
Local	Of safeguarding enquiries where an outcome was expressed, the percentage partially or fully achieved	H	N/A	TBC	93.8%	TBC	94%	N/A
ASCOF 4B	% of service users who say that services have made them feel safe	H	N/A	90%	Due June 2019	90%	90%	Available Nov-19

Key to Columns

Measure ASCOF A metric within the national performance framework known as Adult Social Care Outcomes Framework (ASCOF)

Local A measure defined and calculated for Leicestershire County Council only

Aim High The aim of performance is to be high

Low The aim of performance is to be low

Vision and Strategy for Adult Social Care 2016 – 2020**Prevent need**

We will work with our partners to prevent people needing our support. We will do this by providing information and advice so that people can benefit from services, facilities or resources which improve their wellbeing. This service might not be focused on particular health or support needs - but is available for the whole population – for example, green spaces, libraries, adult learning, places of worship, community centres, leisure centres, information and advice services. We will promote better health and wellbeing and work together with families and communities (including local voluntary and community groups).

Reduce need

We will identify those people most at risk of needing support in the future and intervene early if possible to help them to stay well and prevent further need for services. For example, we might work with those who have just been diagnosed with dementia, or lost a loved-one, people at risk of isolation, low-level mental health problems, and carers. Our work will be targeted at people most likely to develop a need and try to prevent problems from getting worse so that they do not become dependent on support. This might include: information, advice, minor adaptations to housing which can prevent a fall, support and assistance provided at a distance using information and communication technology via telephone or computer.

Delay need

This will focus on support for people who have experienced a crisis or who have an illness or disability, for example, after a fall or a stroke, following an accident or onset of illness. We will try to minimise the effect of disability or deterioration for people with ongoing health conditions, complex needs or caring responsibilities. Our work will include interventions such as reablement, rehabilitation, and recovery from mental health difficulties. We will work together with the individual, their families and communities, health and housing colleagues to ensure people experience the best outcomes through the most cost-effective support.

Meeting need

The need for local authority funded social care support will be determined once we have identified and explored what's available to someone within their family and community. People who need our help and have been assessed as eligible for funding, will be supported through a personal budget. The personal budget may be taken as a payment directly to them or can be managed by the council. Wherever possible we will work with people to provide a choice of help which is suitable to meet their outcomes. However, in all cases the council will ensure that the cost of services provides the best value for money. Whilst choice is important in delivering the outcomes that people want, maintaining people's independence and achieving value for money is paramount.

Explanation of RAG Rating

RED	<p>Close monitoring or significant action required. This would normally be triggered by any combination of the following:</p> <ul style="list-style-type: none"> • Performance is currently not meeting the target or set to miss the target by a significant amount. • Actions in place are not believed to be enough to bring performance fully back on track before the end of the target or reporting period. • The issue requires further attention or action
AMBER	<p>Light touch monitoring required. This would normally be triggered by any combination of the following:</p> <ul style="list-style-type: none"> • Performance is currently not meeting the target or set to miss the target by a narrow margin. • There are a set of actions in place that is expected to result in performance coming closer to meeting the target by the end of the target or reporting period. • May flag associated issues, risks and actions to be addressed to ensure performance progresses.
GREEN	<p>No action required. This would normally be triggered when performance is currently meeting the target or on track to meet the target, no significant issues are being flagged up and actions to progress performance are in place.</p>

The degree to which performance is missing a target is open to debate. A common way of overcoming this is to use a precise percentage threshold between current performance and the target. However, a blanket approach (such as plus or minus 10%) is not appropriate due to the varying ways that metrics are reported e.g. small numbers, rates per capita, percentages.

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