



# Cabinet

<b>Date:</b>	<b>Thursday, 13 March 2014</b>
<b>Time:</b>	<b>6.15 pm</b>
<b>Venue:</b>	<b>Committee Room 1 - Wallasey Town Hall</b>

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## AGENDA

### 1. MEMBERS' CODE OF CONDUCT - DECLARATIONS OF INTEREST

Members of the Cabinet are asked to consider whether they have any disclosable pecuniary or non pecuniary interests in connection with any item(s) on this agenda and, if so, to declare them and state the nature of the interest.

### 2. MINUTES

The minutes of the last meeting have been printed and published. Any matters called in will be reported at the meeting.

RECOMMENDATION: That the minutes be approved and adopted.

## FINANCE

3. FINANCIAL MONITORING 2013/14 (MONTH 10) (Pages 1 - 60)
4. FUTURE COUNCIL PROCESS (Pages 61 - 68)
5. LOCAL WELFARE ASSISTANCE SCHEME (Pages 69 - 90)
6. NATIONAL NON DOMESTIC RATES DISCRETIONARY RELIEF - RETAIL POLICY (Pages 91 - 96)
7. SUNDRY DEBTOR WRITE-OFFS (Pages 97 - 118)
8. CORPORATE RISK MANAGEMENT (Pages 119 - 172)

## **CENTRAL AND SUPPORT SERVICES**

### **9. NOMINATION OF CIVIC MAYOR AND DEPUTY CIVIC MAYOR 2014/15**

The Cabinet is requested to make nominations for the positions of Civic Mayor and Deputy Civic Mayor for the municipal year 2014/2015, which will be submitted to the Annual Meeting of the Council.

### **10. NEW HALL FARM, HOYLAKE (Pages 173 - 178)**

## **GOVERNANCE AND IMPROVEMENT**

### **11. INDIVIDUAL ELECTORAL REGISTRATION SCRUTINY REVIEW REPORT (Pages 179 - 202)**

At its meeting held on 15 January 2014, the Policy and Performance Coordinating Committee considered a report from the Director of Public Health / Head of Policy and Performance on a detailed account of a Scrutiny Review which had considered Wirral's preparations for the introduction of Individual Electoral Registration (IER) in 2014.

The Committee had agreed to refer the report to Cabinet. The minute and report are attached.

## **CHILDREN AND FAMILY SERVICES**

### **12. ADMISSION ARRANGEMENTS FOR COMMUNITY AND VOLUNTARY CONTROLLED PRIMARY AND SECONDARY SCHOOLS AND COORDINATED SCHEME FOR 2015-2016 (Pages 203 - 242)**

### **13. SCHOOL MEALS AND UNIVERSAL FREE SCHOOL MEALS FOR INFANTS (Pages 243 - 250)**

### **14. CHILD POVERTY BUDGET OPTION (Pages 251 - 262)**

### **15. RECOMMENDATIONS FROM POLICY AND PERFORMANCE COORDINATING COMMITTEE - 27 FEBRUARY 2014**

The Cabinet is requested to consider recommendations from the Policy and Performance Coordinating Committee held on 27 February 2014, in respect of the following call-in notices:-

- Cabinet 16 December 2013 (Minute 129) – Report Seeking Approval to Consult on the Closure of The Lyndale School
- Cabinet 16 December 2013 (Minute 140) – Proposals for Changes to School Top Up Payments for Students with High Needs

Minutes to follow

## **ADULT SOCIAL CARE**

- 16. SOCIAL ENTERPRISE DEVELOPMENT - DAY SERVICES (Pages 263 - 320)**
- 17. FEES FOR RESIDENTIAL CARE AND NURSING HOMES - RESPONSE TO CONSULTATION (Pages 321 - 338)**
- 18. HEALTH AND SOCIAL CARE INTEGRATION - THE BETTER CARE FUND 2014 SUBMISSION (Pages 339 - 374)**
- 19. THE IMPLICATIONS OF THE FRANCIS REPORT FOR WIRRAL - SCRUTINY REVIEW REPORT (Pages 375 - 418)**

At its meeting held on 28 January 2014, the Policy and Performance Families and Wellbeing Committee considered a report from the Chair of the Francis Report Scrutiny Panel.

The Committee had agreed to refer the report to Cabinet. The minute and report are attached.

## **HIGHWAYS AND TRANSPORTATION**

- 20. LOCAL TRANSPORT CAPITAL FUNDING AND THE INTEGRATED TRANSPORT BLOCK (ITB) PROGRAMME 2014/15 (Pages 419 - 442)**
- 21. LOCAL SUSTAINABLE TRANSPORT FUND 2014/15 PROGRAMME (Pages 443 - 450)**

## **NEIGHBOURHOODS, HOUSING AND ENGAGEMENT**

- 22. NEIGHBOURHOODS PROGRAMME REVIEW (Pages 451 - 456)**
- 23. ANY OTHER URGENT BUSINESS APPROVED BY THE CHAIR (PART 1)**

To consider any other business that the Chair accepts as being urgent.

- 24. EXEMPT INFORMATION - EXCLUSION OF THE PRESS AND PUBLIC**

The following items contain exempt information.

**RECOMMENDATION:** That, under section 100 (A) (4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following items of business on the grounds that they involve the likely disclosure of exempt information as defined by the relevant paragraphs of Part I of Schedule 12A (as amended) to that Act. The Public Interest test has been applied and favours exclusion.

**25. ANY OTHER URGENT BUSINESS APPROVED BY THE CHAIR  
(PART 2)**

To consider any other business that the Chair accepts as being urgent.

## Agenda Item

**WIRRAL COUNCIL**

**CABINET**

**13 MARCH 2014**

<b>SUBJECT</b>	<b>FINANCIAL MONITORING 2013/14 MONTH 10 (JANUARY 2014)</b>
<b>WARD/S AFFECTED</b>	<b>ALL</b>
<b>REPORT OF</b>	<b>DIRECTOR OF RESOURCES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER</b>	<b>COUNCILLOR PHIL DAVIES</b>
<b>KEY DECISION</b>	<b>YES</b>

### **1 EXECUTIVE SUMMARY**

- 1.1 This report details the Monitoring position for Month 10 (ending 31 January 2014). There are separate appendices for Revenue and Capital.

### **2 RECOMMENDATIONS**

- 2.1 Revenue:

Cabinet is asked to note:-

at Month 10 (January 2014), the full year forecast projects a gross General Fund underspend of £966,000, net £197,000. Cabinet previously agreed to earmark £519,000 of any forecast underspend against future Council restructuring costs and a further £250,000 to replenish General Fund Balances used for the clean up and repairs to infrastructure from December's exceptional weather events. The remaining £197,000 available if the forecast is realised at the end of the financial year would be required to either contribute to the restructuring reserve or to raise the level of General Fund Balances to the required level for 2014/15.

- 2.2 Capital

Cabinet is asked to note:-

The spend to date at Month 10 of £19.8 million, with 83.3% of the financial year having elapsed;

Cabinet is asked to agree:

The revised Capital Programme of £35.9 million (Table 1 at 4.1 annex B);

The re-profiling of a number of schemes into 2014/15, totalling £0.762 million,

### **3 BACKGROUND AND KEY ISSUES**

- 3.1 Throughout the financial year Cabinet will receive monthly updates in respect of Revenue and Capital Monitoring.

### **4 RELEVANT RISKS**

- 4.1 The possible failure to deliver the Revenue Budget is a risk which will be mitigated by a number of actions including regular review and reporting, training for budget managers and use of a tracking system to monitor delivery of savings.
- 4.2 The possible failure to deliver the Capital Programme will be mitigated by the fortnightly review by a group of officers, charged with improving performance.

### **5 OTHER OPTIONS CONSIDERED**

- 5.1 No other options were considered.

### **6 CONSULTATION**

- 6.1 No consultation has been undertaken relating to this report.

### **7 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

- 7.1 There are none arising directly from this report. These would be considered when planning and implementing specific schemes or projects.

### **8 RESOURCE IMPLICATIONS**

- 8.1 The financial implications are detailed within the Appendices.
- 8.2 There are no direct staffing, IT or asset implications arising directly from this report.

### **9 LEGAL IMPLICATIONS**

- 9.1 The Chief Finance Officer is under a personal duty under the Local Government Finance Act 1988 section 114A to make a report to the executive if it appears to him that the expenditure of the authority incurred (including expenditure it proposes to incur) in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure.

### **10 EQUALITIES IMPLICATIONS**

- 10.1 There are no equality implications arising from this report.

### **11 CARBON REDUCTION IMPLICATIONS**

11.1 There are no implications arising directly from this report. These are included in reports to Cabinet on individual schemes and in the Carbon Budget report.

**12 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

12.1 There are no implications arising directly from this report.

**13 REASONS FOR RECOMMENDATIONS**

13.1 To comply with legal requirements to ensure that expenditure is likely to be within the limit of resources available.

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**APPENDICES**

Appendix A Revenue Monitoring 2013/14 Month 10 (January 2014)

Appendix B Capital Monitoring 2013/14 Month 10 (January 2014)

**SUBJECT HISTORY**

<b>Council Meeting</b>	<b>Date</b>
Cabinet – Revenue Monitoring Cabinet – Capital Monitoring	Monthly reports since September 2012

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## CABINET

13 MARCH 2014

<b>SUBJECT</b>	<b>REVENUE MONITORING 2013/14 MONTH 10 (JANUARY 2014)</b>
<b>WARD/S AFFECTED</b>	<b>ALL</b>
<b>REPORT OF</b>	<b>DIRECTOR OF RESOURCES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER</b>	<b>COUNCILLOR PHIL DAVIES</b>
<b>KEY DECISION</b>	<b>YES</b>

**1 EXECUTIVE SUMMARY**

- 1.1 This report sets out the revenue position for 2013/14 at Month 10 (January 2014) and actions to minimise risk.

**2 RECOMMENDATIONS**

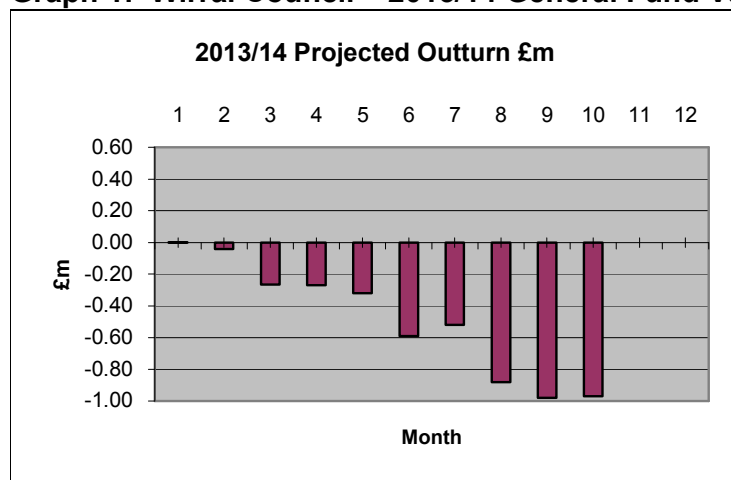
Cabinet is asked to note:

- a) at Month 10 (January 2014), the full year forecast projects a gross General Fund underspend of £966,000, net £197,000. Cabinet previously agreed to earmark £519,000 of any forecast underspend against future Council restructuring costs and a further £250,000 to replenish General Fund Balances used for the clean up and repairs to infrastructure from December's exceptional weather events. The remaining £197,000 available if the forecast is realised at the end of the financial year would be required to either contribute to the restructuring reserve or to raise the level of General Fund Balances to the required level for 2014/15.

**3 OVERALL POSITION AT MONTH 10 (JANUARY 2014)**

- 3.1 Month 10 shows a projected General Fund underspend of £966,000 (compared to the month 9 position of a £982,000 underspend). A number of departmental underspends have been earmarked against ongoing or emerging financial issues. An allocation of £1.6 million against the £2 million savings profiling account (page 7 of the Budget Book and Forecasts 2013-16) is assumed.

**Graph 1: Wirral Council – 2013/14 General Fund Variance, by month**



#### 4 CHANGES TO THE AGREED BUDGET AND VARIATIONS

4.1 The Budget for 2013/14 was agreed by Council on March 5, 2013 and is detailed in [Annex 2](#); any increase in the Budget has to be agreed by full Council. Changes to the budget have occurred since it was set and these are summarised in the table below. These are detailed in [Annex 3](#).

**Table 1: 2013/14 Original & Revised Net Budget by Department £000's**

	Original Net Budget	Approved Budget Changes Prior Mths	Approved Budget Changes Month 10	Revised Net Budget
Chief Executive	8,240	-4,816	166	3,590
People - Adult Social Services	82,951	-190	308	83,069
People – Children & YP, & Schools	91,738	-6,776	-166	84,796
People – Asset Mgmt & Transport	-	5,534	-16	5,518
People – Safeguarding	685	1,396	-29	2,052
People – Sports and Recreation	8,904	-42	-83	8,779
Places - Environment & Regulation	79,651	39	-202	79,488
Places – Housing & Comm Safety	15,342	-551	-82	14,709
Places – Regeneration	5,134	-2,005	-81	3,048
Places - Directorate Support	-	200	-60	140
Places - Invest Strat & Bus Sup	-	1,936	-10	1,926
Transformation & Resources	12,424	5,275	-420	17,279
Corporate Growth & Savings	-3,252	-	675	-2,577
<b>Net Cost of Services</b>	<b>301,817</b>	<b>0</b>	<b>0</b>	<b>301,817</b>

4.2 A number of in month budget virements are included within the above table. These reflect the allocation to directorates of a number of centrally held budgets. Changes include allocations for terms and conditions savings, market supplements, slippage and constituency committee budgets. These allocations do not alter the net cost of services.

4.3 The main report only comments on large variations (Red and Yellow items). The 'variations' analysis, over 29 budget areas, distinguishes between overspends and underspends. The 'risk band' classification is:

- Extreme: Overspends - **Red** (over +£301k), Underspend **Yellow** (over -£301k)
- Acceptable: Amber (+£141k to +£300k), Green (range from +£140k to -£140k); Blue (-£141k to -£300k)

**Table 2: Departmental Business Area Projected Budget variations**

	Chief Exec	People	Places	Trans & Res	Total	Percent of total
Red Overspend	0	1	0	1	0	5.80%
Yellow Underspend	0	0	1	1	0	5.80%

The full Table is set out at [Annex 4](#)

- 4.4 Although no Directorate is currently forecasting an overspend position there are two Business Areas forecast at red. These relate to the following:  
Transformation and Resources Business Processes currently forecast at £665,000 overspent (net of any other compensatory saving measures) due to forecast unachieved savings of £1.3 million relating to court costs income. The £665,000 will be funded from savings within other staffing and Treasury Management budgets within Transformation and Resources.  
The second red rating is in regard to Specialist Services within People – Children & YP & Schools which has a net overspend of £391,000. The over spend in this area relates mainly to agency costs and the demand for semi-residential placements. The over spend will be covered from other areas of the department.

There are, at the moment, two Business Areas forecast at Yellow.

The Transformation and Resources yellow rating relates to treasury management savings from use of internal borrowing in lieu of borrowing and capital scheme slippage.

The Places yellow rating relates to Environment & Regulation underspend of £370,000. This is for a number of reasons detailed in 4.6 - Places.

- 4.5 The reporting process identifies over or underspends and classifies them into risk bands. The projected forecasts below show two Directorates as yellow:

**Table 3: 2013/14 Projected Budget variations by Department £000's**

Directorates	Revisd Budget	Forecast Outturn	(Under) Overspend Month 10	RAGBY Classification	Change from prev mnth
Chief Executive	3,590	3,519	-71	G	31
People - Adult Social Services	83,069	83,069	0	G	-
People – Children & YP, & Schools	84,796	84,796	0	G	-
People – Asset Mgmt & Transport	5,518	5,518	0	G	-
People – Safeguarding	2,052	2,167	115	G	-
People – Sports and Recreation	8,779	8,559	-220	B	-59
Places - Environment & Regulation	79,488	79,118	-370	Y	-
Places – Housing & Comm Safety	14,709	14,709	0	G	-
Places – Regeneration	3,048	3,048	0	G	65
Places - Directorate Support	140	140	0	G	-
Places - Invest Strat & Bus Sup	1,926	1,926	0	G	-
Transformation & Resources	17,279	16,859	-420	Y	-21
Corporate Growth & Savings	-2,577	-2,577	0	G	-
<b>TOTAL</b>	<b>301,817</b>	<b>300,851</b>	<b>-966</b>		<b>16</b>

4.6 Within the various directorates there have been the following developments:

- **Chief Executive's:** Underspend of £71,000 is currently forecast (Month 9 was forecast at £102,000).
- **People:** No overall variance is forecast at present (no change from previous month). Early implementation in 2013/14 of some measures to repay one-off funding, which supports the 2013/14 budget has occurred. These were originally scheduled to commence in 2014/15 and have enabled monies to be used:
  - Adults: As previously reported, reductions in high cost Learning Disabilities packages are not expected to deliver to the level previously assumed in 2013-14. A number of initiatives are being pursued in this area; a significant impact is expected in 2014-15 of -£300,000. Further reductions in older people packages are not now expected to be delivered in 2013-14, albeit substantial progress has already been made (-£300k).

Income from client contributions is increased by £300,000. This reflects the delivery of management actions and the reduction of processing backlogs in the Personal Finance Unit. However there remains a large workload to deal with the historical debt still outstanding and raise current assessment and collection efficiency to an acceptable level. Further work is proceeding to ensure the full value of assessed client contributions is billed by 31st March 2014, and that income recovery in-year is maximised.

Accordingly £1.0m is currently projected as available in 2013/14. Any monies identified will be earmarked to contribute towards an adjustment to income of £2m to reflect the actual in year income performance as detailed in Annexe 12 or against the 2013/14 loan repayment.

- Childrens: A number of variances are assumed as covered by the corporate savings profiling account. £1.7 million is forecast to be available in the year to contribute towards bridging the 2013/14 loan in 2014/15.

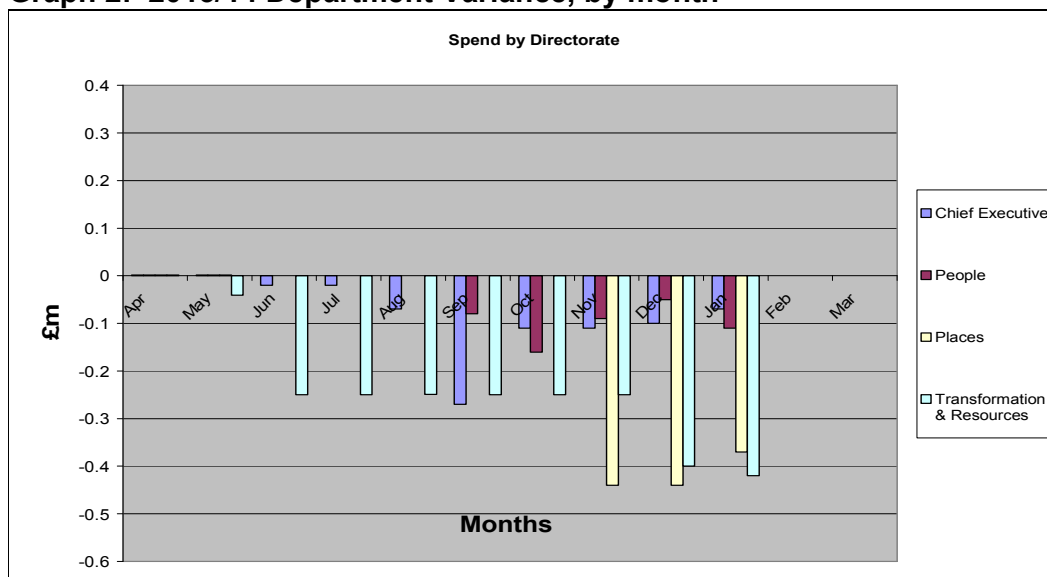
	Adults	Children	Total
Saving 2013/14	1.000	1.700	2.700
Use in 2013/14	-1.000	-0.000	-1.000
C/forward to 2014/15	0.000	1.700	1.700

- **Places:** The net saving forecast is £370,000 (month 9 under spend £435,000). A significant saving has been achieved as a result of the early implementation of savings relating to Supporting People. £1.3 million has been earmarked to resolve a number of annex 12 issues, which cover all directorates.

Within Environment and Regulation there are savings forecast against Environmental Health, Parks & Countryside and Waste & Environment. The Environmental Health savings includes increased income from export certificates. The Waste and Environment savings are derived from increased income from the School waste and garden waste collections combined with a lease rental saving from the wheelie bin lease buyout. The savings with Parks & Countryside are mainly around vacancy savings and the impact of the Council's spending freeze delaying much of the planned works.

- **Transformation & Resources:** A £420,000 under spend is currently forecast (£399,000 under spend in Month 9). This under spend is due to insurance fund contract and capital financing savings plus further savings are now forecast in relation to employee costs.

**Graph 2: 2013/14 Department Variance, by month**



- 4.7 To complete the analysis, the table below sets out the position by category of spend/income. The largest area of variance concerns customer and client receipts which has reduced this month. This reflects the shortfall in Council Tax court costs income and an adjustment made to reflect that not all income raised will be received requiring a possible contribution to bad debt provision.

**Table 4: Projected Departmental Variations by Spend and Income**

	Revised Budget	Forecast Outturn	Variance	RAGBY	Change from Previous
	£0	£0	£0	£0	£0
<b>Gross Expenditure</b>					
Employees	137,604	136,948	-656	Y	227
Premises	16,994	16,795	-199	B	-103
Transport	7,685	7,681	-4	G	49
Supplies and Services	130,182	131,672	1,490	R	651
Third Party Payments	122,331	121,416	-915	Y	98
Transfer Payments	140,988	140,983	-5	G	-5
Support Services	68,650	68,650	-	G	-
Financing Costs	58,626	57,796	-830	Y	251
Schools Expenditure	178,648	178,648	-	G	-
<b>Total Expenditure</b>	<b>861,708</b>	<b>860,589</b>	<b>-1,119</b>		<b>1168</b>
<b>Gross Income</b>					
Schools Income	176,054	176,054	-	G	-
Government Grants	183,193	183,301	108	G	88
Other Grants and Reimbursements	36,385	38,029	1,644	Y	385
Customer/Client Receipts	47,819	46,053	-1,766	R	706
Interest	870	640	-230	A	-
Recharge Other Rev A/c	115,570	115,661	91	G	-27
<b>Total Income</b>	<b>559,891</b>	<b>559,738</b>	<b>-153</b>		<b>1,152</b>
<b>Net Expenditure</b>	<b>301,817</b>	<b>300,851</b>	<b>-966</b>		<b>16</b>

Note: For explanations of red or yellow variances please see [Annex 4](#). Allocations of centrally held budgets made in period 10 impact on monthly movements between expenditure/income lines but not the net expenditure line.

- 4.8 Schools expenditure is funded from the Dedicated Schools Grant, as this grant is ring fenced any over/under spend will not impact on the General Fund.
- 4.9 After agreeing the 2013/14 budget, a number of budgetary issues were identified as requiring further corrective action. A number of items have been dealt with in previous monitors. Details of the issues are contained within [Annex 12](#).

## 5 IMPLEMENTATION OF 2013/14 SAVINGS – THREE TYPES

- 5.1 The delivery of the **March 5 Council** savings (Type 1) is so key to the Council's financial health, that they are being tracked at Council and Directorate level. The assumption is that, where there is slippage, the Strategic Director will implement replacement savings. Detail is at [Annex 5](#).

**Table 5: Budget Implementation Plan 2013/14 whole Council (£000's)**

BRAG	Number of Options	Dec 2013	Change from prev mnth	Approved Budget Reduction	Amount Delivered at Jan	To be Delivered
B - delivered	42	40	2	22,655	22,617	38
G – on track	21	23	-2	16,615	10,137	6,478
A - concerns	5	4	1	6,346	4,786	1,560
R - failed	2	3	-1	2,729	1,129	300
P – replacements for Red	1	1	0	0	1083	217
<b>Total at M10 Jan 14</b>	<b>71</b>			<b>48,345</b>	<b>39,752</b>	<b>8,593</b>
<i>Total at M9 Dec 13</i>	<i>71</i>			<i>48,345</i>	<i>37,161</i>	<i>11,184</i>

Notes: Budget Book page 56-58. Replacement savings cover shortfall in Court costs option M8 to be delivered reduced to reflect replacement for red contribution to savings

- 5.2 There are currently two savings options identified as red rated. They relate to  
 - Review of Residential Care for Learning Disabilities  
 - Council Tax Court Costs
- 5.3 **The one-off funding** in 2013/14 for Adults and Children, requires that they identify equivalent savings (Type 2) during 2013/14 for 2014/15. It is expected that some of the savings will start in 2013/14. As this is identified and delivered, it is presented in Table 6 below and detailed in [Annex 6](#):

**Table 6: Replacing £13.7m one-off 2013/14 funding (£000's)**

BRAG	Number of Options	Saving Proposed 2013/14	Saving Delivered 2013/14	Saving Proposed 2014/15	Saving Proposed 2015/16	Total Saving Proposed 2013/16
Adults 8.8	30	1,017	1,017	6,758	1,690	9,465
Children's 4.9	7	1,700	1,700	1,500	1,800	5,000
Use of 2013/14		-1,017				-1,017
<b>Total 13.7</b>	<b>37</b>	<b>1,700</b>	<b>2,717</b>	<b>8,258</b>	<b>3,490</b>	<b>13,448</b>

Note: Further proposals require identification. Total proposals may end up being greater than target to allow for slippage. Any savings achieved in 2013/14 will firstly reduce any annexe 12 issues and then assist with loan repayments in 2014/15.

- 5.4 The **spending freeze** was extended into the 2013/14 financial year, for three reasons:
1. **Risk.** The increased level of financial risk in 2013 included items that introduced change from April 2013 for which there was no evidence on which to judge that the risk had diminished, remained the same, or increased.
  2. **Closedown.** The outturn for 2012/13 was not available to Cabinet until June 13<sup>th</sup>. There was a risk that the outturn could be worse than the M11 forecast of a £7.4m overspend. The continued progress in financial management resulted in an actual 2012/13 overspend of £4.7m. An additional £0.9m was also identified for release from reserves. This has enabled £3.6m to be added to General Fund Balances.

3. **Change.** The 2013/14 budget has built in a greater level of savings than has ever been attempted in the Council's history. Although reasonable assumptions have been made, there is the danger that a worse case could occur.

5.5 Cabinet 10 October 2013 agreed that the spending freeze should be continued until further notice to aid good financial management.

5.6 Any detailed freeze request items are set out at Annex 7. The purpose of the exercise is to reduce any projected overspend, which by Section 28 of the Local Government Act 2003, is the duty of the Council, that is, all of its Members.

5.7 The 2013/14 Revenue Budget addressed a number of budget issues that were identified during the year. This has been done in a number of ways:

- Base budgets were increased by £8.0 million;
- One-off funding of £13.7 million (see paragraph 5.3 above);
- Suppressing Demand by £3.4 million.

Suppressed demand in Children and Young People totals £1.9m which is being managed during the year. 2012/13 saw improvement in care costs and transport, which resulted in misaligned budgets and budget growth pressures being less than anticipated. Budgets were also reduced where savings were achieved in 2012/13 in areas such as Children in Need, Traded Services and in general expenditure controls. The remaining suppressed demand of £1.5 million relates to Adults.

5.8 The 2013/14 budget includes a savings profiling account of £2 million and a Change Management Implementation Fund of £4 million. The majority of savings included within the budget were calculated on a full year basis. However it was known that a number of savings would only achieve a part year impact in 2013/14. This is particularly the case where staffing reductions were required. The delivery of savings is under constant review and Directorates are examining ways of funding any slippage before a call on central funding is requested. Slippage estimated at £1.6 million relating primarily to phasing of employee release savings in year has been allocated in year from the Savings Profiling account (page 7 of the Budget Book and Forecasts 2013-16).

5.9 Due to the financial management processes outlined above, the budget position as reported in this and previous monitors remains stable. It should be noted that the current forecast underspend represents a small percentage of the total expenditure revenue budget, which is in excess of £865 million.

## **6 CONTROL OF GROWTH**

6.1 The impact of demographic change and financial cover for risk - that is outcomes that could be worse than assumed - was built into the budget as set out in Tables 7 and 8, and is detailed at Annex 8. The tables below reflect the assumptions at the time of setting the 2013/14 budget. These will be updated



in the future to reflect any agreed changes and allocations once the 2014/15 budget is agreed.

- 6.2 In preparing for the 2014/15 budget, directorates have provided confirmation of growth required in 2013/14 and supporting evidence for future growth requirements. This will be incorporated in the tables below in the month 11 monitor following agreement by Budget Council.

**Table 7: Growth £000's**

Department	2013/14 Budget	2013/14 Release	2014/15 Budget	2015/16 Budget
CYP Total	1,230	1,230	-	-
DASS Total	3,717	3,717	2,202	1,805
LHRAM Total	-	-	-	573
RHP Total	-	-	-	1,000
Technical Total	12	12	72	72
Finance Total	237	237	-	-
	<b>5,196</b>	<b>5,196</b>	<b>2,274</b>	<b>3,450</b>

**Table 8: Risk £000's**

Corporate Growth (Budget Book page 7)	2013/14 Budget	2013/14 Release	2014/15 Budget	2015/16 Budget
Pay Inflation	1,700	1,700	3,400	5,400
Superannuation Revaluation	0		2,500	2,500
Change Management Implementation Fund	4,000	2,300	-	
Savings Profiling	2,000	1,600	-	
Price inflation unallocated				1,000
Growth unallocated			726	-
	<b>7,700</b>	<b>5,600</b>	<b>6,626</b>	<b>8,900</b>

Notes: inflation incorporated into departmental budgets amounts to £2.464m. £1m pay inflation against T&Cs . £0.7m pay inflation relates to market supplements and other employee costs. Savings profiling may reduce where directorates can self fund.

## 7 INCOME AND DEBT

- 7.1 The Council's income arrangements with regard to non Council Tax and Business Rates were reviewed and reported to the 23 May Cabinet. Revenue and Income falls into the four broad areas shown below for reporting purposes, which will be developed:

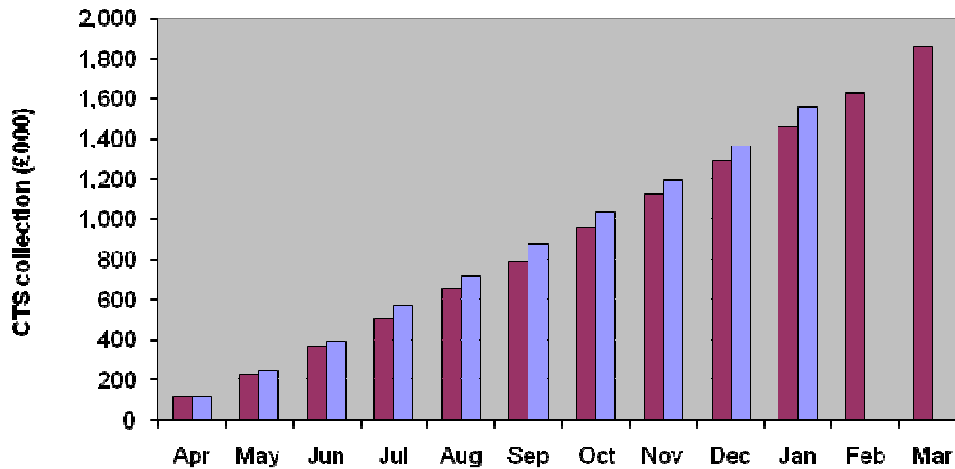
**Table 10: Amount to be collected in 2013-14**

	2013-14 Collectable £000	2013-14 Collected £000	%
Council Tax	135,524	123,929	91.4
Business Rates	69,648	65,636	94.2
Fees and charges – Adults	61,687	40,889	66.3
Fees and charges – all other services	48,050	42,183	87.8

- 7.2 There is a backlog of Accounts Receivable debt to be processed in the areas of fees and charges. Reporting will continue until a normal level of debt is reached. The detail is at [Annex 9](#).

7.3 A high risk income item is that required from residents who previously paid no Council Tax. The graph below tracks collection performance against the budget assumption.

**Graph 3: Projected/Actual Council Tax Support Collection by month £000**  
**Council Tax Support Collection 13-14**



7.4 The Council Tax Support Scheme was introduced in April. This involved billing a large number of properties who have not previously paid Council Tax, having previously received benefit at 100%. An overall collection rate of 75% generating £2.25 million has been assumed. The forecast is that £1.98 million (66%) will be collected by 31 March 2014 with recovery actions post 31 March 2014 increasing the collection to the target figure. At 31 January 2014 collection was 50.6%% which equates to £1,560,000

7.5 Recovery from non Council Tax Support recipient debtors is continuing as normal. Action taken to recover from those of Working Age that previously received Council Tax Benefit is ongoing. Repayment plans offering weekly/fortnightly instalments were offered to those contacting the Council 6,007 applications for Deduction of Benefits have been made since July, 73% higher than last year. Where possible attempts to collect by Attachment of Earnings and Benefits will be prioritised however inevitably in some cases this will not be possible and alternative methods including Bailiffs will need to be utilised.

7.6 Business Rates income collection was 94.2% during January. This is higher than the 92.3% collected at the equivalent period in 2012/13. Comparisons are difficult as large increases/decreases in Rateable Values are reflected in the collectable amount. The taxbase changes have resulted in an extra £1 million to be collected in the first eight months of this financial year. The timing and amounts of refunds may also affect the comparison. Recovery procedures have been tightened with debt being pursued earlier and the position is being closely monitored.

7.7 Issues regarding the collection of sundry debt were reported to Cabinet on 23 May 2013. The use of reserves has been earmarked to fund any increased need for debt write offs or increase to the bad debt provision. A significant amount of income has been received to reduce the level of debt and therefore the call on reserves.

## **8 MANAGEMENT ACTIONS**

8.1 The Departmental Directors and the Chief Executive's Strategy Group seek to identify actions to keep spend within the Budget allocated – these actions are detailed in Annex 10. Any spend freeze agreed decisions are reflected within the tables above.

8.2 Updated financial regulations have been agreed by audit and risk management committee. The regulations include the revision and clarification of a number of financial procedures including budget virements and the treatment of year end over and underspends.

## **9 CASHFLOW**

9.1 Active cash flow management is a fundamental part of the Treasury Management Strategy. Borrowing for funding the 2013/14 capital programme, as in past years has been delayed via temporary use of internal reserves and cash balances. The consequence of this is that interest receivable will be below budget due to funds not being available for investment but this will be more than compensated for by reduced borrowing costs. Interest rates payable on investments have also declined during the year. A pilot study is in progress using monthly expenditure and income profiled budgets. This it is hoped, will aid proactive spending decisions and assist to get income to arrive earlier to improve the Council's cashflow and earn additional interest income.

## **10 RELEVANT RISKS**

10.1 The possible failure to deliver the Revenue Budget has been mitigated by:

- The training of cost centre managers to improve skill levels; four events on profiling and forecasting budgets have been delivered to over 160 cost centre managers with the next event planned on building next year's budget.
- A specific tracking system of savings to ensure delivery;
- Improvements to procurement compliance, to generate more savings and better monitoring information;
- A monthly review by Chief Officers, and Cabinet, together with an improved Scrutiny regime, and greater transparency;
- Individual monthly review by Cabinet Portfolio holder at portfolio meeting;
- Agreement that Strategic Directors are to fund any slippage not covered from central funds;

## 11 OTHER OPTIONS CONSIDERED

11.1 Any option to improve the monitoring and budget accuracy will be considered.

## 12 CONSULTATION

12.1 No consultation has been carried out in relation to this report.

## 13 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

13.1 As yet there are no implications for voluntary, community or faith groups.

## 14 RESOURCE IMPLICATIONS: FINANCIAL, IT, STAFFING AND ASSETS

14.1 Cabinet 18 February 2013 agreed a revised 2013/14 General Fund balance risk calculation of a minimum of £13 million. The level to be achieved by March 2014 was calculated to be £17.7m. This has since been reassessed as part of the 2014/15 budget update process to £17.3m.

**Table 10: Summary of the projected General Fund balances**

Details	£m	£m
Projected balance 31 March 2014 when setting the Budget 2013/14		+13.60
Add: Estimated increase following completion of 2012/13 revenue accounts	+3.60	+3.60
Add: Potential underspend, at M10	+0.97	
Less: Funding of energy increase 2013/14	-0.18	
Less; Funding for Storm damage and cleansing	-0.25	
Less: Restructuring reserve transfer	-0.52	0.02
Projected balance 31 March 2014		17.22

14.2 The current levels of Earmarked Reserves are shown in Table 11 with a full listing included at [Annex 11](#).

**Table 11: Earmarked Reserves 2013/14**

	Balance at 1 April 2013 £000	Movement in year £000	Current Balance 31 Jan 2014 £000
Housing Benefit Reserve	10,155	-	10,155
Insurance Fund	7,821	(5)	7,816
Efficiency Investment Rolling Fund	2,000	(1,000)	1,000
Grant Reserves	1,308	-	1,308
Management of other risks	29,228	(962)	28,266
School Balances and Schools Related	14,264	(2)	14,262
<b>Total Reserves</b>	<b>64,776</b>	<b>(1,969)</b>	<b>63,061</b>

Note: Some reserves will only be applied at year end.

14.3 The delivery of permanent savings on staffing budgets requires initial costs to be incurred for redundancy costs and where applicable pension. Provision of £5.5 million has been made for these costs and this remains the latest estimate for the implementation of the 2013/14 savings.

## **15 LEGAL IMPLICATIONS**

- 15.1 The entire report concerns the duty of the Council to avoid a budget shortfall as outlined at paragraph 5.6. The Chief Finance Officer is under a personal duty under the Local Government Finance Act 1988 section 114A to make a report to the executive if it appears to him that the expenditure of the authority incurred (including expenditure it proposes to incur) in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure.
- 15.2 If the Chief Finance Officer reports that there are insufficient resources to meet expenditure, the Council is prevented from entering into any new agreement which may involve the incurring of expenditure at any time by the authority, until the report is considered, and if the problem is ongoing until it is resolved.

## **16 EQUALITIES IMPLICATIONS**

- 16.1 This report is essentially a monitoring report which reports on financial performance. Any budgetary decisions, of which there are none in this report, would need to be assessed for any equality implications.

## **17 CARBON REDUCTION IMPLICATIONS**

- 17.1 There are no implications arising directly from this report.

## **18 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

- 18.1 There are no implications arising directly from this report.

## **19 REASONS FOR THE RECOMMENDATIONS**

- 19.1 The Council, having set a Budget at the start of the financial year, needs to ensure that the delivery of this Budget is achieved. This has to be within the allocated and available resources to ensure the ongoing financial stability of the Council. Consequently there is a requirement to regularly monitor progress so that corrective action can be taken when required which is enhanced with the monthly reporting of the financial position.

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## **ANNEXES**

- Annex 1 Revenue Monitoring and Reporting Timetable 2013/14.  
Annex 2 General Fund Revenue Budget for 2013/14 agreed by Council.  
Annex 3 Changes to the Budget 2013/14 since it was set.

- Annex 4 RAGBY Full Details
- Annex 5 Savings tracker
- Annex 6 Adults/Children's Replacing one-off 2013/14 funding
- Annex 7 Freeze Outcomes
- Annex 8 Growth and Risk
- Annex 9 Income and Debt
- Annex 10 Management actions
- Annex 11 Earmarked Reserves – General Fund
- Annex 12 Budgetary Issues

**SUBJECT HISTORY**

<b>Council Meeting</b>	<b>Date</b>
From September 2012, the Revenue monitoring reports have been submitted monthly to Cabinet. Budget Council	5 March 2013

**Annex 1 REVENUE MONITORING AND REPORTING TIMETABLE 2013/14**

Period Number	Month	General Ledger Updated and Reports Available To Be Produced	Reports Available For The Executive Strategy Group	Reports Available For Cabinet
			Monthly	Monthly
1	April	May 8	May 28	June 13
2	May	Jun 7	June 18	July 11
3	June	Jul 5	Aug 13	Sept 19
4	July	Aug 7	Sept 24	Oct 10
5	August	Sept 6	Sept 24	Oct 10
6	September	Oct 7	Oct 22	Nov 7
7	October	Nov 7	Nov 26	Dec 10
8	November	Dec 6	Dec 17	Jan 16
9	December	Jan 8	Jan 21	Feb 12
10	January	Feb 7	Feb 25	Mar 13
11	February	Mar 7	TBC	TBC
12	Outturn (Provisional)	TBC	TBC	TBC

AGREED BY COUNCIL ON 5 MARCH 2013

Directorate/Service Area	Budget
<b>Expenditure</b>	<b>£</b>
Chief Executives	8,239,800
Families and Well Being	
Children and Young People	89,143,300
- Adult Social Services	82,950,800
- Safeguarding Plus Schools and Schools Grant	3,280,500
- Sports and Recreation	8,904,000
Regeneration and Environment	100,127,300
Transformation and Resources	12,423,500
<b>Net Cost of Services</b>	<b>305,069,200</b>
Corporate Growth	7,700,000
Corporate Savings	(10,952,000)
<b>Budget Requirement</b>	<b>301,817,200</b>
Income	
Local Services Support Grant	45,000
New Homes Bonus	2,119,500
Revenue Support Grant	106,968,000
Business Rates Baseline	31,424,000
Top Up	39,739,000
Council Tax Requirement	111,357,800
Contribution from General Fund Balances	10,163,900
<b>Total Income</b>	<b>301,817,200</b>
Statement of Balances	
As at 1 April 2013	23,800,000
Contributions from Balances to support budget	(10,163,900)
<b>Forecast Balances 31 March 2014</b>	<b>13,636,100</b>



### Annex 3 CHANGES TO THE BUDGET AGREED SINCE 2013/14 BUDGET SET

These comprise variations approved by Cabinet / Council including approved virements, budget realignments reflecting changes to the departmental structure and responsibilities, and expenditure freeze decisions, as well as any technical adjustments.

**Table 1: 2013/14 Original & Revised Net Budget by Department**

	Original Net Budget	Approved Budget Changes Prior Mths	Approved Budget Changes Month 10	Revised Net Budget
Chief Executive	8,240	-4,816	166	3,590
People - Adult Social Services	82,951	-190	308	83,069
People – Children & YP, & Schools	91,738	-6,776	-166	84,796
People – Asset Mgmt & Transport	-	5,534	-16	5,518
People – Safeguarding	685	1,396	-29	2,052
People – Sports and Recreation	8,904	-42	-83	8,779
Places - Environment & Regulation	79,651	39	-202	79,488
Places – Housing & Comm Safety	15,342	-551	-82	14,709
Places – Regeneration	5,134	-2,005	-81	3,048
Places - Directorate Support	-	200	-60	140
Places - Invest Strat & Bus Sup	-	1936	-10	1,926
Transformation & Resources	12,424	5,275	-420	17,279
Corporate Growth & Savings	-3,252	-	675	-2,577
<b>Net Cost of Services</b>	<b>301,817</b>	<b>0</b>	<b>0</b>	<b>301,817</b>

#### Variations to the approved budgets 2013/14

Cabinet	Items	£m
n/a	Corporate and Democratic Services to be grouped within the Transformation and Resources Directorate where Direct management control for these areas lies.	4.639
n/a	The Anti-Social Behaviour team is part of the Families and Well Being Directorate - Children and Young People and the budget has therefore been transferred from Housing and community safety.	0.569
n/a	Quality Assurance and Family Group Conferencing have been transferred from Specialist Services in Children and Young People to the Joint Safeguarding unit where direct management control lies.	1.396
n/a	A support post has also been transferred from Transformation and Resources to the Chief Executive's Directorate.	0.037
n/a	A number of training and legal posts have been transferred from Children and Young People to Transformation and Resources.	0.353
n/a	Transfer of staffing budgets from DASS in Families & Wellbeing to Financial Services within Transformation & Resources	0.170
n/a	Transfer from T&R to Chief Executive. Funding for Community Engagement.	0.025
n/a	Realigning of the call centre recharge relating to the new garden waste service from Environment & Regulation to Transformation and change.	0.009
n/a	Transfer of staffing budgets from DASS in Families & Wellbeing to CYP.	0.010
n/a	Transfer of 2 Constituency Committee Posts to Chief Executive from CYP.	0.095
n/a	Transfer of budget from Waste & Environment Service Area to create new roles to lead Constituency Committees.	0.042
n/a	Staff transfer from CYPD to Financial services following recent restructure.	0.044
n/a	Transfer of Caretaker posts from Adult Social Services to CYP.	0.082

n/a	Transfer from Chief Exec Dep of one year's improvement plan funding to Transformation and Resources for Committee Services Officer.	0.040
n/a	Strategic Director post moved to Transformation and Resources from Chief Exec Dep.	0.150
n/a	Transfer of Allotments budget from Asset Management (CYP) to Parks and Countryside (R&E).	0.090
n/a	Strategic Directors costs moved to People and Places from Chief Exec Dep.	0.298
n/a	Performance officer transferred from DASS to Chief Exec Dep.	0.045
	<b>OVERALL IMPACT OF THESE DECISIONS</b>	<b>0.0</b>

## Annex 4 - RAGBY FULL DETAILS

Department	Number of Budget Areas	Red	Amber	Green	Blue	Yellow
Chief Executive's	4	0	0	4	0	0
Adult Social Services	2	0	0	2	0	0
Children & Young People, & Schools	7	1	0	5	1	0
Safeguarding	1	0	0	1	0	0
Sports & Rec	1	0	0	0	1	0
Environment & Regulation	4	0	0	3	0	1
Housing & Comm Safety	1	0	0	1	0	0
Transformation & Resources	7	1	0	3	2	1
Corporate Growth & Savings	2	0	0	2	0	0
<b>Total</b>	<b>29</b>	<b>2</b>	<b>0</b>	<b>21</b>	<b>4</b>	<b>2</b>

### RAGBY REPORTING AND OTHER ISSUES

The Red and Yellow RAGBY issues that are the subject of corporate focus are detailed in the following sections by

- Business Area (by Department identifying the service in the Council Estimates (Green Book)) and,
- Subjective Area (by the type of spend / income).

### Business Area Reds

	Chief Exec	People	Places	Trans & Res	Total	Percent of total
Red Overspend	0	1	0	1	0	5.8%
Value £000s/ %		391		665		2.2%
Overall Net Budget						

Transformation and Resources: A shortfall on the court costs savings option has resulted in a red rating.

People Childrens: The over spend in this area relates mainly to agency costs and the demand for semi-residential placements. The over spend will be covered from other areas of the department.

## Business Area Yellows

	Chief Exec	People	Places	Trans & Res	Total	Percent of total
Yellow underspend	0	0	1	1	0	5.8%
Value £000s/ %			370	749		1.5%
Overall Net Budget						

Transformation and Resources: Savings on treasury management due to use of internal borrowing and scheme slippage has produced a yellow rating.

Places – Environment & Regulation: A combination of factors are contributing to a yellow rating.

## Subjective Area Reds

### Expenditure

**Customer/Client Receipts:** The forecast of £1.77 million below budget is largely due to the £2m income adjustment referred to in paragraph 4.5 in the main report and the shortfall in Council Tax Court Costs income.

**Supplies and Services:** The forecast of £1.49 million above budget in this area is due to a forecasted overspend within Adult community care. This is being compensated for from other subjective areas such as other grants and reimbursements.

## Subjective Area Yellows

### Expenditure

**Third Party Payments:** The forecast £0.9 million under spend is a result of various savings within Adult Social Services, Children and Young People, and Transformation & Resources.

**Other Grants and Reimbursements:** The forecast of £1.64 million variance is due to expected over recovery of income within Adult Social Services.

**Financing Costs:** The forecast of £0.8 million under spend is due to capital programme slippage and savings against the Minimum Revenue Provision budget.

**Employees:** The forecast of £656k under spend is largely due to savings within Transformation and Resources.

## Annex 5 SAVINGS TRACKER

### 1 Summary

BRAG	Number of Options	Dec 2013	Change from prev mnth	Approved Budget Reduction	Amount Delivered at Jan	To be Delivered
B - delivered	42	40	2	22,655	22,617	38
G – on track	21	23	-2	16,615	10,137	6,478
A - concerns	5	4	1	6,346	4,786	1,560
R - failed	2	3	-1	2,729	1,129	300
P – replacements for Red	1	1	0	0	1,083	217
<b>Total at M10 Jan 14</b>	<b>71</b>			<b>48,345</b>	<b>39,752</b>	<b>8,593</b>
<i>Total at M9 Dec 13</i>	<i>71</i>			<i>48,345</i>	<i>37,161</i>	<i>11,184</i>

Notes: Budget Book page 56-58. Replacement savings cover shortfall in Court costs option M8 to be delivered reduced to reflect replacement for red contribution to savings

### 2 Detail

#### SAVINGS (TYPE 1) TARGETS – ACHIEVEMENT OF THE SAVINGS (2013/14)

##### Families and Well Being – DASS

Saving	Target £000	Comments / progress on implementation	BGAR	Amount delivered at M10 Jan 14 £000	To be delivered £000
Review of VCF Sector Grants	705	Savings achieved	B	705	0
Community Meals	169	Savings achieved	B	169	0
Charging for Non Residential Services	880	Savings achieved	B	880	0
Transport Policies	250	Savings achieved	B	250	0
Review of Support for Carers	250	Letter issued and reviews progressed for one-off payments, payments not related to client assessed need, and payments to related individuals	G	250	0
Day Care and Day Services Transformation	750	Service changes implemented	G	750	0
Targeted Support through NHS Contracts	1,828	- All clients no longer requiring double handling identified contract performance to be monitored (£83k).	G	1000	828

		<ul style="list-style-type: none"> <li>- Use of Social Fund Grant Allocation. (£800k).</li> <li>- New contract starts 1.1.2014 (£84k).</li> <li>- Targets implemented for residential placement numbers plus scheme of delegation. (£454k)</li> <li>- Continuing Health Care – correct application of law and policy. (£377k).</li> </ul>	B		
			G		
			G		
			G		
Modernisation of leisure	429	Revised shift rotas have now been implemented. The delay in implementation is expected to result in slippage of £125k on this budget saving option.	G	304	125
Residential and Respite Care	160	Director implementing action plan to reduce Supported Living costs	G	100	60
Review of Equipment Service	100	Revised S75 in place for 2013-14 with Community Trust. Discussions commenced with NHS re revised hosting arrangements	G	0	100
Extra Care Housing/External Respite and Short-term Provision	300	<ul style="list-style-type: none"> <li>- Extra Care Housing Provider Negotiations continue.</li> <li>- Revised Respite Policy to be produced and review the feasibility for block contracts for respite</li> </ul>	G	200	100
Assistive Technology	150	Charges now to be introduced in 2014-15. Income budget delivered by a range of other measures in 2013-14.	A	150	0
Review of Residential Care for Learning Disabilities	300	LD packages currently overspending	R	0	300

## Families and Well Being – Childrens

Saving	Target £000	Comments / progress on implementation	BGAR	Amount delivered at M10 Jan 14 £000	To be delivered £000
Education Psychology Service	80	Savings achieved	B	80	0
Schools Budget	250	Savings achieved	B	250	0
Careers, Education and Advice	700	Savings achieved	B	700	0
Schools Music Service	21	Savings achieved	B	21	0
Oaklands Outdoor Education Centre	23	Savings achieved	B	23	0
Foundation Learning	121	Savings achieved	B	121	0
Commissioning of Parenting Services	700	Savings achieved	B	700	0
Youth Challenge	200	Savings achieved	B	200	0
Short Breaks for Children with Disabilities	150	Savings achieved	B	150	0
Area Teams for Family Support	200	Savings achieved	B	162	38
School Improvement and Income from Schools	160	The school improvement programme has been reduced. However there is a shortfall in the buy back from Academies in respect of PFI of £45k.	G	115	45
Youth and Play Services	687	Restructure complete, but slippage of £76k is anticipated in relation to late vacation of premises and employees not leaving 1st April.	G	611	76
Child and Adolescent Mental Health Service	250	Confirmation that staff have left with slippage of £45k.	G	205	45

Children's Centres and Sure Start	1,576	There is slippage in relation to the Management restructure of £57k and slippage in the transfer of day care, £453k, for which only 2 tenders were received. There are discussions with Primary Schools in relation to the remaining 4 sites. Options are continuing to progress however the revised timescale of 1 January 2014 is unlikely to be met with resources being identified to offset any costs till the end of the year.	A	1066	510
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## Regeneration and Environment

Saving	Target £000	Comments / progress on implementation	BGAR	Amount delivered at M10 Jan 14 £000	To be delivered £000
Invest Wirral	352	Savings achieved	B	352	0
Home Insulation	926	Savings achieved	B	926	0
Apprentice Programme	420	Savings achieved	B	420	0
Pre-Planning Advice	10	Savings achieved	B	10	0
Pest Control	30	Savings achieved	B	30	0
Dog Fouling Enforcement	97	Savings achieved	B	97	0
Household Waste Collection	80	Savings achieved	B	80	0
Handyperson Scheme	209	Savings achieved	B	209	0
Trading Standards	71	Savings achieved	B	71	0
Highway Maintenance	588	Savings achieved	B	588	0
Street Cleansing	1,000	Savings achieved	B	1000	0
School Waste	180	Savings achieved	B	180	0

Street Lighting	265	Savings achieved	B	265	0
Highway Drainage	106	Savings achieved	B	106	0
Reduction in Parks Maintenance	450	Savings achieved	B	450	0
Housing Support for BME Communities	111	Savings achieved	B	111	0
Car Parking	281	Savings achieved	B	281	0
Garden Waste Collection	582	Savings achieved	B	582	0

### Transformation and Resources

Saving	Target £000	Comments / progress on implementation	BGAR	Amount delivered at M10 Jan 14 £000	To be delivered £000
Efficiency Investment Fund	4,400	Savings achieved	B	4,400	0
Treasury Management	1,700	Savings achieved	B	1,700	0
Revenues and Benefits	550	Savings achieved	B	550	0
Information Technology Service	210	Savings achieved	B	210	0
Marketing and Public Relations	167	Savings achieved	B	167	0
Tranmere Rovers Sponsorship	135	Savings achieved	B	135	0
Power Supplies - Contract Saving	11	Savings achieved	B	11	0
Area Forum Funding	391	Savings achieved	B	391	0
Council Tax Increase	2,600	Savings achieved	B	2,600	0
Council Discounts and Exemptions	2,284	Savings achieved	B	2,284	0



Reduction in External Audit Fees	140	The budget has been reduced to reflect the new contract and is expected to be fully realised in year.	G	0	140
Local Council Tax Support Scheme	2,785	Scheme introduced and progress being monitored as per section 7.3 above	G	0	2,785
Reducing Council Management	5,000	Savings profile weighted towards increased delivery in 2nd half of year reflecting date of leavers Vacant posts are being pro rata'd over the year.	G	3,548	1,452
Trade Union funding	-270	The funding for the Trade Unions has been built in with the costs to still be recharged across business areas at the end of the year.	G	-270	0
Reducing the Cost of Democracy	100	The cost of the Members Allowances has been reduced and the saving is expected to be achieved in this area.	G	0	100
The Mayor of Wirral	50	It is expected that Civic Services will be able to achieve this saving from June 2013 and there will be a drive to reduce overtime and supplies to achieve the saving.	G	0	50
Libraries and One Stop Shops	391	Staff savings at the budget level are evident in April monitoring.	G	391	0
Housing Benefits – Maximisation of Grant	2,000	Saving has been incorporated into the budget and is expected to be achieved.	G	2,000	0
Service Restructures	905	Broken down as:  £50k Asset Mgmt – delayed restructure but the full £100k should be achieved during 2013-15  £292k HR delayed restructure but it is envisaged that the full saving of £584k will be achieved over the course of 2013-15.  £263k related to RHP	G  G  G	333	572

		£300k for Legal Services, of which £100k relates to employees which is expected to be achieved through compensatory budgets with the restructure helping to achieve the £200k that is currently set aside Legal/Court costs which are a very volatile area.	A		
Better Use of Buildings	100	Details as to how this saving will be achieved are to be finalised as there are also savings that have rolled forward from previous years relating to assets.	G	100	0
Reducing the numbers of Agency workers	500	Spend up to December is £2.788 with a projection of £3.9M until the end of the year. This shows an overall saving of £600K compared to last year. A significant number of contracts have ended since the beginning of the year. Challenge is around how savings are allocated across the departments	G	500	0
Transforming Business Support	500	Saving has been incorporated into the budget. Staff savings are expected and some have already been achieved. Further work is taking place to develop saving.	A	169	331
Procurement	320	This saving has not progressed as anticipated, but compensatory savings are expected to be made during the year.	A	320	0
Workforce Conditions of Service	3,800	Negotiations with TUs are concluding. Target saving likely to be £3.7 million. Slippage depending upon agreement is likely. Challenge is around how savings are allocated across departments.	A	3,081	719

Council Tax: Court Costs	2,429	Current projections show full saving will not be delivered. £1.3M Compensatory savings will be made from staffing budgets (0.8M) and Treasury Management Budgets (0.5M) within Transformation and Resources.	R	1,129	1,300
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## Annex 6 ADULTS/CHILDREN'S REPLACING ONE-OFF 2013/14 FUNDING

### ADULTS

Details	Proposed 13-14 (£000)	Delivered 13-14 (£000)	Proposed 14-15 (£000)	Proposed 15-16 (£000)	Comments / progress on implementation
No delivery of savings to replace equivalent one-off 2013-14 funding is assumed in 2013-14. However it is expected that £1.376m of these savings will be delivered in 2013-14.					
Savings proposals requiring member approval		0.655	3.530	0.900	Details of proposals provided as part of the 2014-15 budget consultation
Management Action		0.362	3.328	0.790	Details of proposals provided as part of the 2014-15 budget consultation
		1.017	6.858	1.690	

Note: 2013/14 monies may be allocated first to annexe 12 issues in 2013/14

## CHILDRENS

Details	Proposed 2013/14 (£000)	Delivered 2013/14 (£000)	Proposed 2014/15 (£000)	Proposed 2015/16 (£000)	Comments / progress on implementation
Commissioning (saving achieved in advance)	250	250			Saving achieved in advance of 2014/15 requirement
Connexions/CEI AG (saving achieved in advance)	300	300	200		Saving achieved in advance of 2014/15 requirement
Transfer Pension costs to Schools Budget	100	100			Costs to be transferred as in 2012/13
Uncommitted Adoption Grant	200	200			As per Cabinet report June 2013
Further reduction in Schools PPM programme	200	200			Funded by schools' budget.
Springboard / School Readiness add'l budget	400	400			Budget not committed
YOS bring forward service review	50	50			To be met from vacancies and spend controls
Children's Centres			500	1500	
Efficiencies			400		
Family Parenting			200	300	
Partnership Working			200		
Additional in year underspend identified at month 10		200			
<b>Total</b>	<b>1,500</b>	<b>1,700</b>	<b>1500</b>	<b>1800</b>	

## Annex 7 FREEZE OUTCOMES

No decisions have been made in 2013/14 which result in monies being transferred from directorate budgets to the freeze holding account.

## Annex 8 GROWTH AND RISK

### Growth £000's

Ref	Department/ Option Title	2013/14 Budget	2013-14 Release
	<b>CYP</b>		
5	Independent Reviewing Officers	90	90
6	Additional Social Worker Capacity in Wallasey District	315	315
7	Social Workers in Schools	75	75
8	Family Justice Review	100	100
9	Staying Put Policy	100	100
12	Foster Care	500	500
13	Youth Justice Board Costs	50	50
	<b>CYP Total</b>	<b>1,230</b>	<b>1,230</b>
	<b>DASS</b>		
2	Increase in Fees for Residential & Nursing Care to reflect a Fair Price for Care	1,000	1,000
4	Increase in Demand (Young Adults with Learning Disabilities)	944	944
5	Increase in Demand (Older People)	1,773	1,773
	<b>DASS Total</b>	<b>3,717</b>	<b>3,717</b>
	<b>Technical</b>		
3	Annual Property Uplift Biffa contract	12	12
	<b>Technical Total</b>	<b>12</b>	<b>12</b>
	<b>Finance</b>		
1	Reduction in HB Admin grant 2013/14	237	237
	<b>Finance Total</b>	<b>237</b>	<b>237</b>
		<b>5,196</b>	<b>5,196</b>

### Risk £000's

Corporate Growth (Budget Book page 7)	2013/14 Budget	2013/14 Release
Pay Inflation	1,700	1,700
Change Management Implementation Fund	4,000	
Savings Profiling	2,000	1,600
Price inflation unallocated		
Growth unallocated		
	<b>7,700</b>	<b>3,300</b>

### Inflation £000's

Inflation Allocated to Departments 2013-16			
	2013/14	2014/15	2015/16
	£000	£000	£000
<b>CYP</b>			
PFI	140	140	140
Retirement Costs	80	80	80
Foster/Adoption	190	190	190
<b>CYP Total</b>	<b>410</b>	<b>410</b>	<b>410</b>
<b>DASS</b>			
Placements	15	15	15

Residential and Nursing Care	1,518	1,518	1,518
Transport	60	60	60
<b>Total</b>	<b>1,593</b>	<b>1,593</b>	<b>1,593</b>
<b>Families and Well Being Total</b>	<b>2,003</b>	<b>2,003</b>	<b>2,003</b>
<b>Regeneration and Environment</b>			
Biffa	413	413	413
Colas	48	48	48
<b>Regeneration and Environment Total</b>	<b>461</b>	<b>461</b>	<b>461</b>
<b>Grand Total</b>	<b>2,464</b>	<b>2,464</b>	<b>2,464</b>

## Annex 9 INCOME AND DEBT

### Council Tax

The following statement compares the amount collected for **Council Tax** in the period 1 April 2013 to 31 January 2014 with the amount collected in the same period in 2012/13:

	<b>Actual 2013/14 £</b>	<b>Actual 2012/13 £</b>
Cash to Collect	<b>135,524,000</b>	125,457,000
Cash Collected	<b>123,929,000</b>	117,563,000
% Collected	<b>91.4%</b>	93.7%

Council Tax benefits has been abolished and replaced by Council Tax support and the numbers and awards as at 31 January 2014 are as follows:

Number of <b>Council Tax Support</b> recipients	<b>38,049</b>
Number of pensioners	<b>16,153</b>
Number of vulnerable	<b>7,371</b>
Number of working age	<b>21,896</b>

The level of collection reflects the increased charges to those charge payers now in receipt of Council Tax Support and having to pay a minimum of 22% of the annual charge as well as the increase charges in respect of reduced discounts and exemptions. Overall there is an extra £10 million to be collected for 2013/14 of which £6.4m has been collected to date. Council Tax Support claimants of Working Age total 21,896 this includes 7,371 who receive maximum support leaving 14,525 paying at least 22%. This Council Tax Support debt is £3.083m.

A Council Tax Discretionary Relief policy was agreed by Cabinet in October and funded to a maximum of £50,000. An application form has been placed on the web. No awards have been made to date. 96 applications are currently under consideration.

### Business Rates

The following statement compares the amount collected for **National Non-Domestic Rates** in the period 1 April 2013 to 31 January 2014 with the amount collected in the same period in 2012/13:

	<b>Actual 2013/14 £</b>	<b>Actual 2012/13 £</b>
Cash to Collect	<b>69,648,000</b>	68,213,000
Cash Collected	<b>65,636,000</b>	62,982,000
% Collected	<b>94.2%</b>	92.3%

### Accounts Receivable

The table below shows the departments and the amount of debt at each recovery stage:

Description	Less than 28 days	1st reminder	2nd reminder	3rd reminder	Total 30.11.13 at
Chief Executive	<b>£75,240</b>	<b>£13,298</b>	<b>£11,736</b>	<b>£588,373</b>	<b>£688,647</b>
Neighbourhood	<b>£7,914</b>	<b>£1,133</b>	<b>£0</b>	<b>£21,347</b>	<b>£30,394</b>
Transformation	<b>£1,830,235</b>	<b>£914,035</b>	<b>£21,056</b>	<b>£895,653</b>	<b>£3,660,979</b>
Families	<b>£4,975,389</b>	<b>£1,329,943</b>	<b>£809,757</b>	<b>£9,340,523</b>	<b>£16,455,612</b>
Regeneration & Environment	<b>£847,488</b>	<b>£52,088</b>	<b>£169,626</b>	<b>£631,400</b>	<b>£1,700,602</b>
Policy and Performance	<b>£0</b>	<b>£0</b>	<b>£192,168</b>	<b>£9,120</b>	<b>£201,288</b>
<b>Totals</b>	<b>£7,736,266</b>	<b>£2,310,497</b>	<b>£1,204,343</b>	<b>£11,486,416</b>	<b>£22,737,522</b>

The above figures are for invoices in respect of the period up to the end of January 2014. Payments as well as amendments such as write-offs and debts cancellations continue to be made after this date on all these accounts. There is a further deduction of £382,955 to be made for unallocated payments leaving a balance of **£22,354,527**

## BENEFITS

The following statement details the number of claimants in respect of benefit and the expenditure for Private Tenants and those in receipt of Council Tax Support up to 31 January 2014:

	2013/14	2012/13
Number of <b>Private Tenant</b> recipients	<b>32,146</b>	31,597
Total rent allowance expenditure	<b>£116,255,399</b>	
Number under the <b>Local Housing Allowance</b> Scheme ( <i>included in the above</i> )	<b>12,389</b>	11,972
	<b>£47,407,205</b>	
Number of <b>Council Tax Support</b> recipients	<b>38,049</b>	
Total Council Tax Support expenditure	<b>£28,047,580</b>	
Total expenditure on benefit to date	<b>£144,302,979</b>	

The following statement provides information concerning the breakdown according to client type as at 31 January 2014 and gives the early year numbers to show the shift in sector by benefit claimants during the year.

	31.01.14	01.05.13
Claimants in the Private Rented Sector	<b>14,821</b>	14,451
Claimants in the Social Rented Sector	<b>17,325</b>	16,765
Owner Occupiers	<b>10,324</b>	10,738



Total claimants by age group		
- under 25 years old	<b>2,513</b>	2,728
- 25 – 60 years old	<b>22,547</b>	21,741
- over 60 years old	<b>17,410</b>	17,623

There are **42,470** benefit recipients in Wirral as at 31 January 2014.

### **Under Occupancy regulations**

From 1 April 2013 property size criteria was introduced to working age tenants of social housing (Registered Providers). Where a claimant is deemed to be occupying accommodation larger than they reasonably require, Housing Benefit (HB) levels have been restricted as follows:

- One “spare” bedroom incurs a 14% reduction. In Wirral the current average is £12 weekly and there are 2,827 households affected;
- Two or more spare bedrooms incurs a 25% reduction – the Wirral average is currently £21 weekly and there are 659 affected;
- Out of a total social sector HB caseload of 17,325 - 3,486 are currently affected by this. Numbers have reduced slightly as the reduction has, in some cases, been overridden due to the claimant's circumstances;
- We are also starting to see a reduction in numbers as we identify and make the necessary adjustments to those exempt tenancies i.e. pre 1996, without a break in claim, following the recent government announcement.

### **Housing Benefit Fraud and Enquiries – 01 April 2013 to 31 January 2014**

New Cases referred to Fraud team in period	1,134
Cases where fraud found and action taken	90
Cases investigated, no fraud found and recovery of overpayment may be sought	433
Cases under current investigation	227
Surveillance Operations Undertaken	0
Cases where fraud found and action taken:	
Administration penalty	7
Caution issued and accepted	11
Successful prosecution	38
Summons issued for prosecution purposes	35
Local Welfare Assistance Fraud Prosecution	1

### **Discretionary Housing Payments**

The tables below profile the position of Discretionary Housing Payment (DHP) administration and associated spend. DHP is not a payment of Housing Benefit and is funded separately from the main scheme. Whilst traditionally it was seen as a short

term measure to financially assist those who had difficulty in meeting a rental shortfall, increasingly the nature of awards is changing as the impacts of Welfare Reform roll-out. The Department for Work and Pensions see such awards, for which the Government contribution has increased, in many cases as supporting people through the transition of reform, allowing them time to rebudget, increase their income or to secure a DHP award to help with moving costs.

The Government contribution for 2013/14 is £917,214 with an overall limit of £2,293,035 which the Authority must not exceed. In direct recognition of the impacts of the Reforms, the DWP also made a further £10 million Transitional Funding available for 2013/2014, of which Wirral's share is £64,000. Spend is closely monitored, with year end spend forecasted on a monthly basis. Whilst the percentage spend to date, at 83% is lower than this time 2012/2013, the escalating impacts of reforms such as Social Sector Size Criteria and wider increase in people struggling to manage financially as a result of a myriad of change, means that it is expected that Wirral will use up the full government contribution by year end. Over the last two months the work undertaken by officers on these applications has seen the expenditure almost double. £35,000 has been allocated to Housing Options to meet rent deposits to enable people to move into sustainable tenancies and they have allocated £16,198 of this to date.

Data @ 31/12/13										
Month	Claims Considered			DHP Awards in Payment	Current Awards	Committed awards up to 31/03/2014	% spent (committed) of Govt cont	Forecasted Y.E. spend	Annual Total Cont.	Cont remaining
	Total considered	Awarded	Refused							
April	62	26	36	65	£11,674	£16,883	2%	£198,794	£917,214	£888,655
May	228	103	125	136	£27,093	£41,845	5%	£242,440	£917,214	£875,368
June	296	122	174	230	£51,067	£79,329	9%	£314,732	£917,214	£837,884
July	358	143	215	355	£80,470	£122,073	13%	£371,305	£917,214	£795,140
August	387	210	177	680	£188,198	£257,560	28%	£598,786	£917,214	£659,653
September	158	86	72	785	£241,429	£306,388	33%	£611,101	£917,214	£610,825
October	114	78	36	880	£289,841	£351,393	38%	£611,101	£917,214	£565,821
November	371	269	102	1192	£392,925	£492,303	54%	£733,431	£917,214	£424,911
December	253	237	16	1600	£547,799	£670,044	73%	£882,910	£917,214	£247,170
January	309	269	40	1847	£659,790	£759,723	83%	£921,260	£917,214	£157,491
Totals	2,536	1,543	993					Additional	£64,000	£64,000
									£971,214	£221,491

We continue to look at those claims which have been refused, to determine whether or not a full or partial award may now be considered appropriate.

DHP Payment Type	As at 31.01.14
Baby Due	18
Benefit Cap	19
Change of Address	8
Combination of reforms	10
Disability	24
Income Tapers	31
Increase in work related expenses	3
Legislation change	48
LHA reforms	115
NDD	10
Reduced HB entitlement	57
Removal Costs	3
Rent deposit	38
Rent restrictions	449
Social Size criteria	730

### Local Welfare Assistance

From April 2013, the discretionary Crisis Loans for Living Expenses and Community Care Grant elements of the Social Fund were abolished and replaced in Wirral by our new Local Welfare Assistance Support Scheme (LWA). For 2013/14 Wirral's scheme is supported by a £1,345,925 Government Grant. Wirral's scheme replaces cash payments in favour of suitable alternatives where at all possible e.g. through the provision of pre payment cards for food and fuel and direct provision of white goods. The scheme is to be reviewed to see how implementation has gone and for possible scheme alterations. The number of applications is rising on a week by week basis.

LWA details for period from 02 April 2013 to 31 January 2014:

Number of awards granted for food	3,068	value	£144,731
Number of awards granted for fuel	2,364	value	£53,477
Number of awards granted for goods	1,142	value	£273,041

<b>Total number of households receiving an award</b>	<b>3,819</b>	<b>value</b>	<b>£471,249</b>
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Number of claims not qualifying	2,519
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We continue to raise awareness of the scheme, particularly to help people experiencing crisis or financial difficulty over the winter months.

A report on approving the scheme for 2014/15 will be presented to Cabinet in March 2014.

## Annex 10 MANAGEMENT ACTIONS

### ACTIONS TAKEN BY THE EXECUTIVE TEAM/DIRECTORATES TO REDUCE SPEND / INCREASE INCOME

Department	Items	£000
All	Spending freeze to continue during the full financial year.	
All	Introduction of Concerto system to monitor progress against savings targets.	
People	Reviews by Adults and Children to identify measures to fund pay back of 2013/14 one-off funding (£13.7 million).	
Regeneration	Early implementation of Supporting People 2014/15 saving	1,300
People	Management Actions to address learning disabilities budget pressures	

## Annex 11 EARMARKED RESERVES - GENERAL FUND £000's

	Balance at 1 April 2013 £000	Movement	Balance at 31 Jan 2014 £000
Schools Balances	11,936	-	11,936
Housing Benefit	10,155	-	10,155
Insurance Fund	7,821	(5)	7,816
Budget Support	4,200	-	4,200
Intranet Development	3,161	-	3,161
Local Pay Review	2,296	-	2,296
Community Fund Asset Transfer	2,146	-	2,146
Efficiency Investment Rolling Fund	2,000	(1,000)	1,000
One Stop Shop/Libraries IT Networks	1,878	-	1,878
Supporting People Programme	1,105	-	1,105
Worklessness	1,085	-	1,085
Severance Pay	1,026	-	1,026
Stay, Work, Learn Wise	908	-	908
Intensive Family Intervention Project	871	-	871
Working Neighbourhood Fund	760	-	760
School Harmonisation	668	-	668
Schools Capital Schemes	581	-	581
Childrens Workforce Development Council	558	-	558
Apprentice Programmes 2 & 3	546	-	546
Home Adaptations	518	-	518
Dedicated Schools Grant Carry Forward	472	10	482
Planned Preventative Maintenance	463	(249)	214
ERDF Match Funding	444	-	444
Schools Automatic Meter Readers	415	-	415
Schools Contingency	370	(2)	368
Strategic Asset Review	366	(149)	217
Child Poverty	350	(100)	250
Business Improvement Grant	342	-	342
Local Area Agreement Reward	322	-	322
Schools Service IT	294	-	294
Homeless Prevention	271	-	271
Other Reserves	6,448	(474)	5,974
<b>Total Reserves</b>	<b>64,776</b>	<b>(1,969)</b>	<b>62,807</b>

Note: Some reserves will only be applied at year end.

## Annex 12 BUDGETARY ISSUES

	Service area	Issue	2013/14	2014/15	2015/16	2016/17	Resolution
<b>People</b>							
	Adults overstated income	Income was included at 100% of billed, rather than at the (lower) level of collection. Improved collection would reduce the loss but this should be evidence led.	2,000	2,000	2,000	2,000	Entered into M1 Monitor. 2013/14 from Directorate. 2014/15+ Bad debt provision will cover
	Legal Fees ex CYP Adults	Foster Care placements - with improved work routines, amenable to reduction. Learning Disabilities additional supported living packages	100 2,700	50 0	0 0	0 0	Funding from M7 increased grants Management actions resolving shortfall including additional NHS support, increased income and budget realignment. Future year impact being assessed
<b>Places</b>							
	RHP	Homeless Grant rolled into Formula Grant, but not taken out of budget. No solution.	221	221	221	221	2013/14 from forecast savings 2014/15+ from grant adjustment
	Willowtree	Shortfall in accommodation budget; resolution depends on service and asset disposal	33	33	33	33	Agreed can be met from permanent budget reduction
	Car Parking	Income shortfall from changing market	350	350	350	350	Compensatory savings identified for 2013/14, potential growth request 2014/15+ if modelling indicates permanent change
<b>Transformation</b>							
	Market Supplements	Using Market supplements when appropriate to ensure the appointment, and retention, of key, statutory employees.	490	450	450	0	Reduced from £1m M1 Monitor based on latest estimates. From pay growth budget M7
	2012/13 T&C's	Non-achievement; count as part of 2014/15 target	300	0	0	0	2013/14 from forecast savings
	2012/13 Trans Bus S	Non-achievement; count as part of 2014/15 target	300	150	0	0	2013/14 from forecast savings
	2013/14 T&Cs	Shortfall in achievement; count as part of 2014/15 target	472	0	0	0	2013/14 from forecast savings
	Facilities Management	Shortfall in achievement on closure of buildings; count as part of 2014/15 target	250	0	0	0	Agreed can be met from permanent budget reduction
	Council Tax Court Costs	Shortfall on 2013/14 savings option (Red Rated)	1,300	1,300	1,300	1,300	Compensatory savings from T&R in 2013/14, options being evaluated 2014/15 including growth request
<b>Totals</b>			<b>8,516</b>	<b>4,554</b>	<b>4,354</b>	<b>3,904</b>	

Solutions			2013/14	2014-15	2015/16	2016/17	
	Agreed redns	Willowtree Facilities Management	-33 -250	-33	-33	-33	Agreed can be met from permanent budget reduction
	In monitor	M1 Adults income – in 2013/14 funded from bad debt provision in later years	-2,000	-2,000	-2,000	-2,000	2013/14 in year savings and bad debt provision
		Market Supplements funding from central budget for pay growth (page 7) Budget Book	-490	-450	-450	0	funding from central budget for pay growth (page 7) Budget Book
		T&Cs part funding from central budget for pay growth (page 7) Budget Book	-200	0	0	0	part funding from central budget for pay growth (page 7) Budget Book
		Foster Care placements	-100	-50	0	0	Funding from increased grants per Directorate M7
		Homeless Grant	-221	-221	-221	-221	2013/14 from funding identified in monitor, 2014/15+ from grant adjustment
		Council Tax Court Costs	-1,300	-1,300	-1,300	-1,300	2013/14 compensatory savings from T&R staffing and Treasury Management, growth request/budget adjustment 2014/15 +
		Car Parking	-350	-350	-350	-350	2013/14 compensatory savings within R&E parks & countryside, Environmental Health and Waste. 2014/15+ potential growth/budget adjustment request if modeling indicates permanent change
		Learning Disabilities additional supported living packages	-2,700	0	0	0	Management actions resolving shortfall including additional NHS support, increased income and budget realignment. Future year impact being assessed
		Remaining issues relating to 2013/14	-872	-150	0	0	Funded from funding identified in monitor
<b>Current additional resource required from savings</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	

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## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT</b>	<b>CAPITAL MONITORING 2013/14 MONTH 10 (JANUARY 2014)</b>
<b>WARD/S AFFECTED</b>	<b>ALL</b>
<b>REPORT OF</b>	<b>DIRECTOR OF RESOURCES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER</b>	<b>COUNCILLOR PHIL DAVIES</b>
<b>KEY DECISION</b>	<b>YES</b>

### 1 EXECUTIVE SUMMARY

- 1.1 This report sets out the capital position for 2013/14 at Month 10 (January 2014) and actions to minimise risk.

### 2 RECOMMENDATIONS

- 2.1 That Cabinet is asked to note:

- a) the spend to date at Month 10 of £19.8 million, with 83.3% of the financial year having elapsed;

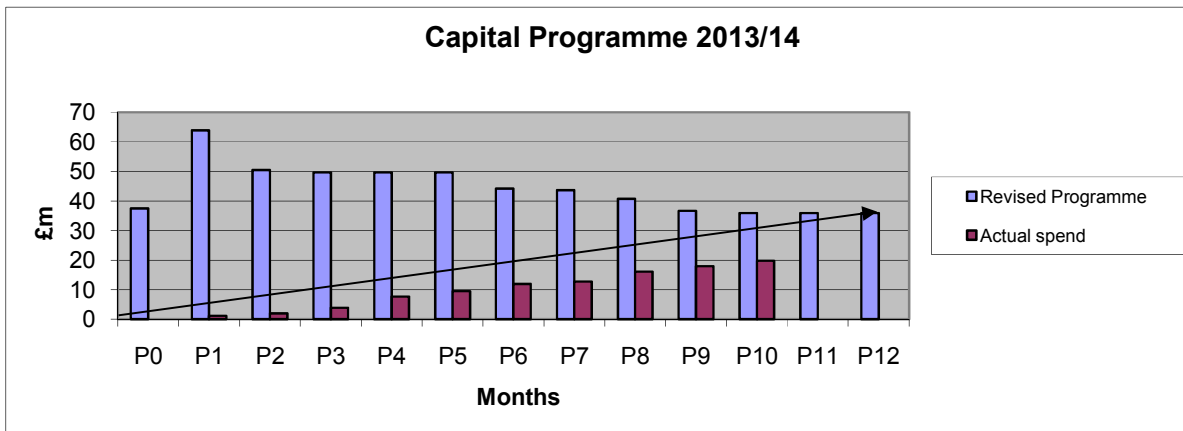
- 2.2 That Cabinet is asked to agree:

- a) the revised Capital Programme of £35.9 million (Table 1 at 4.1);
- b) the re-profiling of a number of schemes into 2014/15, totalling £0.762 million,

### 3 OVERALL POSITION AT PERIOD 10 (JANUARY 2013)

- 3.1 The projected capital forecast for the year, at Month 10 shows a potential balanced outturn position.

**Chart 1: Capital Programme spend below line of best fit**



**4 ORIGINAL AND PROPOSED CAPITAL PROGRAMME FOR 2013/14**

4.1 The Programme for 2013/14 is subject to change. Period 10 reflects the Programme agreed by this Cabinet on 13 March amended for the additional re-profiling.

**Table 1: Capital Programme 2013/14 at Period 10 (January) £000's**

	Capital strategy	Changes approved by Cabinet	Re-profiling to be approved	Other changes to be noted or approved	Revised Capital Programme
Invest to save	1,400	-1,000	0	0	400
Bids to release assets	1,053	351	0	0	1,404
People – Adults	11,025	-9,325	0	0	1,700
People – CYP	10,286	1,233	-600	0	10,919
Places – Regeneration	5,979	782	0	0	6,761
Places – Environment	7,196	5,206	-182	20	12,240
Trans & Res –Finance	210	0	0	0	210
Trans & Res - Asset Mgt	315	1,449	0	0	1,764
Public Health	0	484	0	0	484
<b>Total expenditure</b>	<b>37,464</b>	<b>-820</b>	<b>-782</b>	<b>20</b>	<b>35,882</b>

4.2 A summary of the significant schemes for re-profiling for Period 10 is set out in Table 2. The £0.020 million “Other Changes” represents:

- a) the addition of a new Environment Agency grant relating to Highway Drainage at Rigby Drive

**Table 2: Requests to vary the 2013/14 programme £000's**

	<b>Changes to be approved or noted</b>	<b>Explanation (A) Policy (B) Items previously deferred (C) Additional funding (D) Re-profiling (E) Reduced requirement</b>
People – CYP	-350	Relates to the Pensby Primary School, £2.165m expected to be completed, with only the retention amount due to be outstanding (due 2014/15) <b>(D)</b> .
	-235	Funding for 2 year olds, amounts have been allocated to individual sites, however some sites will not be completed in 2013/14 therefore to be re-profiled into 2014/15 <b>(D)</b>
Places - Environment	-121	Schemes relating to Highways Maintenance that will not be completed before the end of 2013/14 including Kings Parade £50k, Marine Promenade £50k, Claughton Road £10k, John Street £10k <b>(D)</b>
<b>Significant variations</b>	<b>-706</b>	

4.3 There has been no change to the Government's capitalisation directions. The qualifying criteria to 'capitalise' statutory redundancy costs prevent the Council from applying in 2013/14.

## **5 PHASING OF THE PLAN – THE USE OF GATES**

5.1 Officers are implementing a system (Concerto) that will show how schemes in the Capital Programme are progressing. Instead of only having two scheme measures, being 'start' and 'completed', this will enable information on the progress of a scheme. Table 3 gives examples of the Gates for the Capital Receipts programme.

**Table 3: example of five Gates for Capital Receipts**

Gate	Activity by Quarters
Conceptual Stage	Identification of potential disposal
Approval Stage	Agreement in principle by Asset Group
Delivery Stage	Approval to disposal and method of disposal
Finished Stage	Agreement to final terms
Closure Stage	Legal completion and receipt of monies

- 5.2 The benefit of the system is that each scheme will be planned across the year(s) and progress can be tracked. Furthermore, all the schemes can be ‘collated so we will have a predicted phasing for the whole Capital Programme over three years.
- 5.3 Having this information will enable us to intervene where schemes are slipping, navigate around ‘choke points’ where everything is happening at once and better plan the funding of the Programme..

**6 ACTUAL SPEND TO DATE – IS THE PROGRAMME ‘ON PLAN’?**

- 6.1 Until the Concerto system is fully developed we will continue to use the general measure of progress. The actual capital expenditure at Period 10 is £19.8 million with 83.3% of the financial year having elapsed.

**Table 4: Spend to date January (10/12 = 83.3%)**

	Spend to date		Comments on variation RAG
	£000	%	
Invest to save	0	0	Green -acceptable
Bids to release assets	342	24	Green -acceptable
People – Adults	39	2	Green -acceptable
People - Children & Yg People	6,613	61	Green -acceptable
Places - Regeneration	3,417	51	Green -acceptable
Places - Environment	8,065	66	Green -acceptable
Trans & Res - Finance	55	26	Green -acceptable
Trans & Res - Asset Mgt	1,304	74	Green -acceptable
Public Health	0	0	Green -acceptable
Total expenditure	19,835	55	

**6.2 People – Adults**

With regard to the Learning Disabilities Extra Care Housing scheme procurement has now been completed and a delivery plan agreed. The 2014-15 capital programme has now been amended to just show the anticipated Council contribution to the overall scheme as opposed to including the estimated private sector contribution of £8.6 million.

## People - Children

Spend to date increased by £0.5 million in period 10. The majority of this related to Modernisation of Basic Needs and Funding for 2 year old schemes areas of spend. The Pensby Primary Schools and an element of the Funding for 2 year old schemes have been reprofiled to 2014/15 as outlined in table 2 above.

## Places – Regeneration

Spend to date increased also by £0.5 million in period 10. The major areas of spend in the month related to the Think Big Investment Fund and Disabled Facilities Grants.

Disabled Facilities Grants. An element of the programme will run into 2014/15 relating to committed expenditure where works have been identified and approved but will not be completed in this financial year.

The Lift Replacement Programme variance element is one which was initially identified as a rolling programme of replacements to negate further maintenance liabilities and is still ongoing into 2014/15 to address the more complex cases. To date over 80% of the replacement programme is now complete.

## Places – Environment

Spend to date has increased by £0.7 million in period 10. This involved a number of schemes with the largest spend relating to Parks Plant and Equipment, works at Lever's Causeway and Street Lighting.

## Transformation and Resources – Asset Management

Spend is at 74% of its 2014/15 programme budget (£1.3 million). The largest spend areas relate to the Wallasey Town Hall and Rock Ferry centre schemes.

**Table 5: Projected Outturn compared to Revised Budget £000's**

	<b>Revised Budget</b>	<b>Projected Outturn</b>	<b>Variation</b>
Invest to save	400	400	0
Bids to release assets	1,404	1,404	0
People - Adults	1,700	1,700	0
People - Children & Yg People	10,919	10,919	0
Places - Regeneration	6,761	6,761	0
Places - Environment	12,240	12,240	0
Trans & Res -Finance	210	210	0
Trans & Res - Asst Mgt	1,764	1,764	0
Public Health	484	484	0
<b>Total Expenditure</b>	<b>35,882</b>	<b>35,882</b>	<b>0</b>

## 7 FINANCING OF THE CAPITAL PROGRAMME

7.1 Table 6 summarises the financing sources and changes made to Period 10. The major changes proposed, since the Capital Programme was approved in March 2013 are:

- the use of unsupported borrowing to finance slippage and new schemes;
- the use of grant funding not required in 2012/13 which will fund the associated slippage in expenditure; and
- to deploy spare capital receipts.

**Table 6: Revised Capital Programme Financing 2013/14 £000's**

Capital Programme Financing	Capital Strategy	Changes approved by Cabinet	Budget changes to be approved by Cabinet	Revised 2013/14 Programme
Unsupported Borrowing	7,920	2,927	-174	10,673
Capital Receipts	3,121	543	0	3,664
Revenue and Reserves	888	743	0	1,631
Grant – Education	8,786	1,768	-600	9,954
Grant – Integrated Transport	1,136	-299	0	837
Grant – Local Sus Transport	695	631	0	1,326
Grant – Local Transport Plan	2,864	522	0	3,386
Grants – Other	12,054	-7,655	12	4,411
<b>Total Financing</b>	<b>37,464</b>	<b>-820</b>	<b>-762</b>	<b>35,882</b>

## 8 PROJECTED LONGER TERM CAPITAL PROGRAMME

8.1 Funding for the forecast 2013/14 to 2015/16 capital programme is shown in Table 7.

**Table 7: Capital Programme Financing 2013/14 to 2015/16 £000's**

Capital Programme Financing	2013/14 Revised Estimate	2014/15 Revised Estimate	2015/16 Revised Estimate	Total Programme
Unsupported Borrowing	10,673	9,990	3,252	23,915
Capital Receipts	3,664	4,086	0	7,750
Reserve Reserves	1,631	290	0	1,921
Grant – Education	9,954	9,964	357	20,275
Grant – Integrated Transport	837	1,514	0	2,351
Grant – Local Sus Transport	1,326	676	0	2,002
Grant – Local Transport Plan	3,386	3,235	0	6,621
Grants – Other	4,411	7,536	0	11,947
<b>Total Financing</b>	<b>35,882</b>	<b>37,291</b>	<b>3,609</b>	<b>76,782</b>

## 9 SUPPORTED AND UNSUPPORTED BORROWING AND THE REVENUE CONSEQUENCES OF UNSUPPORTED BORROWING

- 9.1 Based on the current cost of borrowing, £1 million of Prudential Borrowing would result in additional revenue financing costs of £90,000 per annum in the following year. As part of the Capital Strategy 2013/14 to 2015/16 the Council has included an element of prudential borrowing. At Period 10 there is a sum of £23.9 million of new unsupported borrowing included over the next three years, which will result in approximately £2.1 million of additional revenue costs detailed at Table 8, if there is no change in strategy.

**Table 8: Unsupported Borrowing Forecasts & Revenue costs £000's**

	2013/14	2014/15	2015/16	2016/17
New Unsupported borrowing	10,673	9,990	3,252	-
Cumulative		20,663	23,915	23,915
Cumulative Annual Revenue repayment costs		961	1,860	2,152

However, the Unsupported Borrowing has to be divided into that for which there is planned support – a spend to save scheme – and the truly unsupported schemes.

**Table 9: Analysis of Unsupported Borrowing**

	2013/14	2014/15	2015/16	TOTAL
Spend to save	4,004	2,473	1,300	7,777
Other borrowing	6,669	7,517	1,952	16,138

## 10 CAPITAL RECEIPTS POSITION

- 10.1 The Council has worked with the Local Government Association (LGA) to review the Council's Assets - a report was presented to Cabinet on November 7. This highlighted the Council could realise £20 million from asset disposals including Acre lane, former Rock Ferry High School and Manor Drive, Upton, some of which has already been accounted for in Table 10. Based on the work of Lambert, Smith, Hampton these projections have been reviewed and the receipts profile adjusted accordingly. It is now expected that the disposals for Acre Lane and Rock Ferry will occur in 2014-15 and that for Manor Drive in 2015-16.
- 10.2 The Capital Programme is reliant on the Council generating capital receipts to finance future schemes. The Capital Receipts Reserve at 1 April 2013 contained £8.1 million of receipts. The table assumes the proposed spend, set out at 4.1 is agreed. At this stage the receipts and funding assumptions are only estimates with the latter especially likely to change depending on the approved 2014-17 capital programme.

**Table 10: Projected capital receipts position – funding requirement £000's**

	2013/14	2014/15	2015/16
Capital Receipts Reserve	8,100	6,236	4,150
In - Receipts Assumption	1,800	2,000	9,000
Out - Funding assumption	-3,664	-4,086	-3,000
Closing Balance	6,236	4,150	10,150

10.3 At the end of January the Council had received £1.638 million of usable capital receipts which are detailed in Annex 4.

## **11 RELEVANT RISKS**

11.1 The possible failure to deliver the Capital Programme will be mitigated by the fortnightly review by a senior group of officers, charged with improving performance.

11.2 The generation of capital receipts could well be influenced by factors outside the authority's control e.g. ecological issues.

11.3 Capacity shortfalls are being addressed through the development of closer working with the Local Government Association (LGA) and Local Partnerships.

## **12 OTHER OPTIONS CONSIDERED**

12.1 No other options have been considered.

## **13 CONSULTATION**

13.1 No consultation has been carried out in relation to this report.

## **14 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

14.1 As yet, there are no implications for voluntary, community or faith groups.

## **15 RESOURCE IMPLICATIONS**

15.1 The whole report is about significant resource implications. A previous Treasury Management report to Cabinet provides details of an estimated underspend of £0.8 million in respect of borrowing.

## **16 LEGAL IMPLICATIONS**

16.1 There are no legal implications arising directly from this report.

## **17 EQUALITIES IMPLICATIONS**

17.1 An Equality impact assessment is not attached as there are none.



## **18 CARBON REDUCTION IMPLICATIONS**

18.1 There are no carbon reduction implications arising directly from this monitoring report.

## **19 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

19.1 There are no planning and community safety implications arising directly from this monitoring report.

## **20 REASONS FOR RECOMMENDATIONS**

20.1 Regular monitoring and reporting of the capital programme will enable decisions to be taken faster which may produce revenue benefits and will improve financial control of the Programme.

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## **SUBJECT HISTORY**

<b>Council Meeting</b>	<b>Date</b>
Capital monitoring reports, from September 2012, are being submitted monthly. Capital programme submitted to Council	5 March 2013

## **ANNEXES**

Annex 1 Capital monitoring and reporting timetable 2013/14  
Annex 2 Revised Capital programme and funding source  
Annex 3 Deferred unsupported capital schemes  
Annex 4 Capital Receipts

**ANNEX 1**

**CAPITAL MONITORING & REPORTING TIMETABLE 2013/14**

Period Number	Month	General Ledger Updated and Reports Available To Be Produced	Reports Available For The Executive Strategy Group	Reports Available For Cabinet
			Monthly	Monthly
1	April	May 8	May 28	June 13
2	May	Jun 7	June 18	July 11
3	June	Jul 5	Aug 20	Sept 5
4	July	Aug 7	Sept 24	Oct 10
5	August	Sept 6	Sept 24	Oct 10
6	September	Oct 7	Oct 22	Nov 7
7	October	Nov 7	Dec 2	Dec 18
8	November	Dec 6	Jan 19	Feb 4
9	December	Jan 8	Feb 1	Feb 12
10	January	Feb 7	Feb 25	Mar 13
11	February	Mar 7	TBC	TBC
12	Outturn (Provisional)	TBC	TBC	TBC

## PROPOSED CAPITAL PROGRAMME AND FUNDING CABINET MARCH 2014

Department	Total Programme	Borrowing	Receipts	Revenue / Reserves	Grants	Total Funding
<b>Invest to save or core efficiency</b>						
Energy schemes	400	400			-	400
<b>Invest to save or core efficiency Total</b>	<b>400</b>	<b>400</b>	-	-	-	<b>400</b>
<b>Bids that release redundant council assets</b>						
Demolish Stanley Special	-				-	-
Demolish Bebington Town Hall and Liscard Municipal	-				-	-
Demolish former Rock Ferry High	-				-	-
Strategic Asset Review	457	457			-	457
Fund to assist land assembly and re-sale	947		947		-	947
<b>Bids that release redundant council assets Total</b>	<b>1,404</b>	<b>457</b>	<b>947</b>	-	-	<b>1,404</b>
<b>Transformation &amp; Resources Finance</b>						
West Kirby and Heswall OSSs	210			210	-	210
<b>Transformation &amp; Resources Finance Total</b>	<b>210</b>	-		<b>210</b>	-	<b>210</b>
<b>Transformation &amp; Resources Asset Management</b>						
The Priory	25	25			-	25
Rock Ferry Centre	456			456	-	456
Arrowe Park Changing Pavilion	300	300			-	300
West Kirby Concourse Roof	159	159			-	159
Wallasey Town Hall	810	810			-	810
Liscard Hall	14			14	-	14
<b>Transformation &amp; Resources Asset Management Total</b>	<b>1,764</b>	<b>1,294</b>	-	<b>470</b>	-	<b>1,764</b>
<b>People - Children &amp; Young People</b>						
Children's Centres	25				25	25
Aiming Higher for Disabled Children	390				390	390
Condition/Modernisation	3,997			21	3,976	3,997
Family Support Scheme	60	60			-	60
Formula Capital Grant	1,235			42	1,193	1,235
Schools- Access Initiative	165				165	165
Woodchurch One School Pathfinder	144	33		8	103	144

Birkenhead High Girls Academy	602			69	533	602
Private Finance Initiative	55			-	55	55
Pensby Primary School	2,165			85	2,080	2,165
School Meals Uptake	138				138	138
Co-Location Fund	74				74	74
Vehicle Procurement	18			18	-	18
Park Primary	180				180	180
Rosclare Childrens Hotel	1			1	-	1
Early Years access	78				78	78
Youth Capital	160	98			62	160
School remodelling and additional classrooms	586	300			286	586
Somerville primary school mobile replacement	450	200			250	450
Wirral Youth Zone	147	30	-		117	147
Funding for 2 year olds	249				249	249
<b>People - Children &amp; Young People Total</b>	<b>10,919</b>	<b>721</b>	<b>-</b>	<b>244</b>	<b>9,954</b>	<b>10,919</b>
<b>People – Adults</b>						
Transformation of Day Service	500				500	500
Integrated IT	1,200	200			1,000	1,200
LD Extra Care Housing	-	-			-	-
<b>People – Adults Total</b>	<b>1,700</b>	<b>200</b>	<b>-</b>	<b>-</b>	<b>1,500</b>	<b>1,700</b>
<b>Places – Environment</b>						
Congestion	178	5		12	161	178
Road Safety	423	8			415	423
Air Quality	376	245			131	376
Local Sustainable Transport	1,287				1,287	1,287
Transportation	200	-			200	200
Street Lighting	376	176			200	376
Bridges	1,181	381			800	1,181
Highways Maintenance	3,101	715			2,386	3,101
Asset Management	-				-	-
Coast Protection	240	186			54	240
Wheelie Bin Buyout	1,600	1,600			-	1,600
Parks Plant and Equipment	1,267		1,267		-	1,267
Parks vehicles replacement	440		440		-	440
Landican Cemetery	82	82			-	82

Birkenhead Park Restoration Fees	97	97			-	97
Hoylake Golf Course	30	30			-	30
Park Outdoor Gyms	159				159	159
Reeds Lane Play Area	61				61	61
Eastham Country Park	36				36	36
Royden Park	20				20	20
Floral Pavilion Stage & Orchestra Pit	37	37			-	37
West Kirby/Guinea Gap	1,000	1,000			-	1,000
Leisure Equipment	49			49	-	49
<b>Places - Environment Total</b>	<b>12,240</b>	<b>4,562</b>	<b>1,707</b>	<b>61</b>	<b>5,910</b>	<b>12,240</b>
<b>Places – Regeneration</b>						
Think Big Investment Fund	434	434			-	434
Clearance	999	365	245	47	342	999
Home improvement	1,122	573	390	159	-	1,122
Disabled Facilities - Adaptations	2,290	1,027			-	1,263
Improvement for sale grants	380			380	-	380
Cosy Homes Heating	369	119	250		-	369
Empty Property Interventions	334	121	125	60	28	334
New Brighton	-	-			-	-
Maritime Business Park	400	400			-	400
Other Regional Growth Fund Schemes	433				433	433
<b>Places - Regeneration Total</b>	<b>6,761</b>	<b>3,039</b>	<b>1,010</b>	<b>646</b>	<b>2,066</b>	<b>6,761</b>
<b>Public Health</b>						
Guinea Gap 3G Football pitches	245				245	245
West Kirby Concourse Fitness Suite	112				112	112
Start Active, Play Active, Stay Active	10				10	10
Wirral Way – widening and safety improvements	117				117	117
<b>Public Health Total</b>	<b>484</b>				<b>484</b>	<b>484</b>
<b>Grand Total</b>	<b>35,882</b>	<b>10,673</b>	<b>3,664</b>	<b>1,631</b>	<b>19,914</b>	<b>35,882</b>

## ANNEX 3

### DEFERRED / UNSUPPORTED

Summary	2013/14 £000	2014/15 £000	2015/16 £000	Totals £000
Invest to save or core efficiency	0	0	0	0
Bids that release redundant council assets	0	0	0	0
DASS	0	0	0	0
Finance	0	0	0	0
CYP	680	700	0	1,380
Law, HR & Asset Management	1,025	1,500	1,500	4,025
Regeneration	2,080	1,250	0	3,330
Technical Services	2,405	2,119	0	4,524
<b>Total</b>	<b>6,190</b>	<b>5,569</b>	<b>1,500</b>	<b>13,259</b>
<b>Detail</b>				
<b>Invest to save or core efficiency</b>	0	0	0	0
<b>Bids that release redundant council assets</b>	0	0	0	0
<b>DASS</b>	0	0	0	0
<b>Finance</b>	0	0	0	0
<b>CYP</b>				
<b>Schools Development Programme</b>				
Woodchurch Rd primary Foundn 2 classrooms	80	700	0	780
Woodslee Primary School ***	600	0	0	600
	680	700	0	1,380
<b>Law, HR &amp; Asset Management</b>				
Cultural Services Assets ***	1,000	1,500	1500	4,000
The Priory	25	0	0	25
	1,025	1,500	1500	4,025
<b>Regeneration</b>				
Think Big Investment Fund	300	300	0	600
Improvements to Stock ***	950	950	0	1,900
Wirral Healthy Homes	105	0	0	105
Empty Property Interventions ***	125	0	0	125
Hoylake	600	0	0	600
	2,080	1,250	0	3,330
<b>Technical Services</b>				
Street Lighting	200	0	0	200
Bridges	250	0	0	250
Capitalised Highways Maintenance	1,000	1,000	0	2,000
Coast Protection	47	55	0	102
<b>Parks, Cultural Services and Roads</b>				
Arrowe Park changing facilities ***	500	800	0	1,300
Birkenhead tennis court	90	7	0	97
Cemetery infrastructure and landscaping	50	50	0	100
Birkenhead Park drainage	238	57	0	295
Frankby cemetery extension	30	150	0	180
	2,405	2,119	0	4,524
<b>Less schemes now approved</b>	<b>(3,045)</b>	<b>(207)</b>		<b>(3,252)</b>
<b>Funding type:</b>				
Unsupported Borrowing	3,145	5,362	1,500	10,007

\*\*\* Represents schemes now included in the Capital Programme.

## ANNEX 4

### USEABLE CAPITAL RECEIPTS AS AT 31 JANUARY 2014

	£000
6, The Grove, Wallasey	11
Land at the Carrs	12
Bridge Walks	15
Stringhey Road Car Park	19
Print Unit Equipment	30
Junction 1 Bidston Retail Park	32
Turntable Building	58
Bromborough Social Centre	75
Thurstaston Rangers Cottage	310
M53 Compensation	159
Rake Lane Depot	48
57 New Chester Road	45
Poulton Primary	35
501 Leasowe Road	11
Former Cole St. Primary School	179
Land at Meadow Lane / St. Pauls Road.	44
Land at Church St. /King St.	22
Land at St. Pauls Rd., Seacombe	49
Site of 9, 13 and 15 Brighton Street.	11
	<b>1,165</b>
Right to buy proceeds (Magenta Living & BBCHA)	473
Total usable receipts	<b>1,638</b>

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## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT:</b>	<b>FUTURE COUNCIL</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>STRATEGIC DIRECTOR OF TRANSFORMATION AND RESOURCES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>LEADER OF THE COUNCIL</b>
<b>KEY DECISION</b>	<b>YES</b>

#### 1.0 EXECUTIVE SUMMARY

- 1.1 This report provides Cabinet with a proposal for transforming Wirral Council during the next financial year, delivering the major savings targets which are required of us while ensuring that our remaining, significant resources are used effectively at achieving the outcomes needed by residents and the Councils priorities.
- 1.2 Contained within this proposal is an indicative timeline as well as a strategy for ensuring effective, meaningful and comprehensive engagement with Elected Members, external experts and stakeholders, partners, people who use services, the Council workforce and Wirral residents.
- 1.3 This is an opportunity to fully reconsider how we invest the remaining £250M to meet the vision of our agreed Corporate Plan, whilst ensuring we streamline the Council and its processes, ensuring value for money and targeting our resources at those most in need.

#### 2.0 BACKGROUND AND KEY ISSUES

- 2.1 The role of Local Government is changing at the most rapid pace in living memory. Significant reductions in the grant funding we receive from Central Government combined with increasing demand for our services, present an unprecedented challenge. The Council faces a forecast budget gap of £30.7 million in 2015/2016 and £25.1 million in 2016/2017 from its revenue budget, in addition to the savings already agreed and being currently delivered.
- 2.2 However, by the end of this period Wirral Council will still invest major resources, at the end of 2017 the Council will still spend £250 million on services across Wirral. Therefore the focus must be on how this money will be invested in the future. In addition, the Council has a vital leadership role to discharge on behalf of residents, bringing together other partners from across the public, private and voluntary sectors, to ensure all public money (the Wirral pound) is spent in the most effective way possible. As the Council's funding declines, we will want to demonstrate even greater rigour to our available resources, be clear about the impact and outcome of our expenditure and ensure that we focus on what works.
- 2.3 The Future Council conversation will enable Members, partners, residents and staff to be involved in shaping the future of our public services. We must totally re-evaluate

the way we do things to ensure our collective resources are focussed on delivering the most sustainable, effective, targeted services for our communities possible.

- 2.4 The Council commissioned support from Ernst Young (EY) in October 2013 to conduct a full review into the structure, design and function of the Council. This review has provided Council with a proposal for remodelling of the organisation. Work is now underway to implement this new organisational structure, and with it a new system of job profiles and pay grades, enabling the organisation to become much more modern and flexible.
- 2.5 This review has further proposed a business-case based system which will see every Council service which is currently delivered, either to internal or external customers, be fundamentally reviewed according to a stringent set of principles in order to determine a robust proposal as to the most appropriate future delivery model for that service; this could be either directly delivered by the Council, a 'public-public' shared model, a form of third party delivery or decommissioned entirely. This process shifts the emphasis away from traditional service delivery towards a broader emphasis on outcomes as opposed to outputs.
- 2.6 Extensive engagement with Members and other stakeholders led to the development of a series of three principles, described within the Corporate Plan which was agreed by Council in December 2013, which would guide the future development of the Council. These principles have been used to guide the work completed by EY, and it is within these thematic areas described by these principles that proposals for transforming the Council will be presented for debate, consultation and engagement.
- 2.7 As highlighted at the Elected Members' event on 18<sup>th</sup> February 2014, it is imperative that we make further progress in developing our commissioning approach. We know that we have a real issue in terms of managing rising demand and public expectations against a backdrop of continuous reductions in both our grant and our ability to raise local income. The historic response to such matters (reducing the back office, raising access thresholds, budget freezes) no longer provide solutions to long term problems. We do have some emerging solutions (community budgets, system thinking) but only by a concerted focus on whole system commissioning will we achieve the desired outcomes of our vision and corporate plan.
- 2.8 Significant work is underway to develop this new Commissioning Strategy for the Council. This means that we will be much clearer about how the things we invest in link to the needs of residents, and will lead to better outcomes. This isn't just about individual need, but will help us think about the environment and opportunities that would support people being able to live the best possible life they can, throughout their lives.
- 2.9 Led by the Strategic Director Families and Wellbeing, this new outcome based approach also presents the opportunity to ensure the Future Council conversation is joined up across the public sector. We know that as a whole the public sector is looking for ways in which we can strengthen what we provide for our community by working together. The health and social care sector is an example of this, where we have been working hard to develop much more integrated services to benefit those who need them.

- 2.10 One of the most important factors within the development of the commissioning strategy is 'co-production'. This means that we will be looking to make sure that people are able to shape the services we put in place on their behalf. A series of questions are being prepared that will help shape commissioning outcomes required in the future. Using these questions to drive the consultation of the future of the Council will ensure an integrated approach can be taken, and will deliver a tangible outcome at the end of the process.
- 2.11 A "concordat" for a shared corporate service was signed by Cheshire West and Chester Council and Wirral Council in July 2013. This was the first step towards exploring a shared service including HR, Payroll, Legal, IT, Procurement and Finance. The ultimate aim was to establish a single corporate service for both councils which could enable both authorities to be more efficient which in turn will create cash savings and improved performance.
- 2.12 In order to review whether setting up a shared corporate service between Wirral Council and Cheshire West and Chester would provide efficiencies and savings, a programme team on behalf of both councils came together to review their current operating model and identify opportunities for improvement that would result from the partnership. A key element of their work was to develop a business case, identifying the potential cost benefit of such a development.
- 2.13 In February 2014, a draft business case document provided by the joint team was shared with the CEX and senior representatives of both Councils.
- 2.14 Regrettably, the business case as is currently articulated does not provide a sound basis for Wirral to recommend to Members that we proceed at this moment in time. Whilst the level of eventual benefit (£4m estimated) is attractive, the level of investment (over £8m) means that the payback period (three to four years) is not fast enough to meet our budget timescales.
- 2.15 This has been an incredibly useful piece of work to get us to this position as it will be vitally important for our Future Council work. All logic points to there must be a saving accrued when two organisations share. However, at this point in time there remain too many assumptions made requiring further evidence. Generally, the return on investment and the ultimate payback period of up to four years reduces scope for early savings.
- 2.16 Shared services is an opportunity we should still actively consider, especially around schools traded services and leisure functions, but in light of the above and the identified savings opportunities in our Future Council Model, it is recommended that further work on sharing services with Cheshire West and Chester / CoSocius are put on hold until October 2014 and then re-examined.

### **3.0 PROPOSAL AND METHODOLOGY**

- 3.1 To meet the financial and demographic challenges we face we cannot continue to propose and implement cuts, efficiencies and reductions of services. We must, and will as part of this project, instead conduct a root and branch review of what our residents need and find ways of meeting those needs through the most appropriate method across the entire public sector.

- 3.2 We also cannot lose sight of the fact that, despite the reductions in our funding that are forcing us to change so radically, we remain the leader of public services in the borough, and still have the opportunity to invest significant funds into improving the borough and the quality of life residents enjoy. Therefore we will use this project to have a full and frank debate with all stakeholders on where that funding should be invested, ensuring all Council resources are directed at outcomes defined by residents.
- 3.3 Building on the work with EY, coupled with our commissioning model, we will make sure we truly focus on outcomes by conducting a full, robust and timely review of every service area within the organisation. This review will provide Members with a clear recommendation for the future of all services currently funded by the Council, in terms of their relationship and contribution to the outcomes residents' need, their cost effectiveness and a proposal for the most appropriate delivery model going forward.
- 3.4 The results of these service reviews will be presented to Members and external stakeholders according to the three principles described within the Corporate Plan 2014-2016, which has been subject to extensive engagement with Members and will then drive the delivery of the Future Council project, which will run in 4 distinct stages:
- Stage One: Pre Scrutiny (Member and Stakeholder)
  - Stage Two: Review Proposals
  - Stage Three: Consultation and Engagement
  - Stage Four: Refine Proposals and Feedback
- 3.6 This process will run until Autumn 2014, giving Members and other stakeholders opportunity to scrutinise, influence and shape the proposals and resulting new Council model at every step of the process – through developing proposals, to consultation and engagement, and finally reviewing the feedback received and refining proposals before their recommendation to Cabinet and Council.

**Stage One: Pre-Scrutiny (Member and Stakeholder)**

- 3.7 Position papers are in development which will be structured according to the overarching principles contained within the Council's Corporate Plan 2014-2016: Local Solutions, Local Decisions; Promoting Independence; Driving Growth and Aspiration. Within these papers will be detailed information on the Council services which currently contribute towards that principle.
- 3.8 The papers will contain financial information, in terms of operating budgets, staff budgets and workforce levels, as well as performance data and other background information.
- 3.9 These papers will then be subject to comprehensive pre-scrutiny from Members and from Partners and stakeholders. Members will be asked to consider the contents of the papers in the context of the challenges the Council is facing, both financial and demographic. This will provide the opportunity for Members to effectively pre-scrutinise and inform the proposals which will be put forward for wider consultation with residents, staff and other stakeholders. The papers will be debated by the following Committees at this stage:

Local Solutions, Local Decisions:  
Policy and Performance Coordinating Committee  
Public Service Board

Promoting Independence:  
Families and Wellbeing Policy and Performance Committee  
Health and Wellbeing Board

Driving Growth and Aspiration  
Regeneration and Environment Policy and Performance Committee  
Investment Board

- 3.10 The boards and committees will be asked to consider the contents of the papers and make suggestions as to how those services and the associated investment could be more effectively utilised to achieve better outcomes for residents.

### **Stage Two: Review Proposals**

- 3.11 Following this initial stage of Member / Stakeholder engagement and pre-scrutiny, the feedback received from Members and external stakeholders will be used to inform the development of a series of 'Options' for consultation.
- 3.12 These options will be developed based on this information, and based on the information collated by the aforementioned 'Service Review' process, which will analyse the effectiveness and appropriate delivery model of every service currently funded by the Council.
- 3.13 The 'Options' will then once again be debated by the appropriate Committees and external boards to provide Members with further opportunities to debate and influence the proposals. This will be done through a series of full day workshops with the Committees outlined in 3.8, which will be used to scrutinise the proposals for consultation.

### **Stage Three: Consultation and Engagement**

- 3.14 Once Members have 'agreed' the Options, they will then be published for wider consultation with staff, partners and residents. An extensive communications and engagement schedule is in development to ensure this consultation reaches the widest possible audience.
- 3.15 Specific targeting will further take place to ensure effective engagement with those groups defined as sharing 'protected' characteristics, including BME communities, older people, people with disabilities, and younger people.
- 3.16 Specific areas of disinvestment which are identified as part of this process will be subject to robust statutory consultation with those staff and residents who are directly affected by any change to service provision.

### **Stage Four: Refine Proposals and Feedback**

- 3.17 All feedback received as part of the consultation and engagement with all stakeholders will be collated, analysed and reported back through the same mechanisms of Council committees as completed the pre-scrutiny stage of this process.
- 3.18 Those committees will then be offered a final opportunity to influence and debate the proposals before they are reviewed in the light of the feedback and proposed to Cabinet.

#### **4.0 ENGAGEMENT STRATEGY**

- 4.1 In addition to the scrutiny process, Members will be further engaged and invited to participate in this process through constituency committees, which will be one of the primary avenues for consultation within this process. Constituency Committees will be provided the same opportunities as P&P and other constituted committees (such as H&WB board) to influence, debate and inform proposals.
- 4.2 We will again run a full engagement programme across all communities to ensure every Wirral resident has the opportunity to take part in the Future Council debate. We will utilise ours and our partner and affiliated websites extensively, as well as social media and e-mail. We will once again develop a full programme of presentations, focus groups and targeted sessions within every community and ward, and with every demographic group to make sure that all residents can influence the future of this council and the way their services are delivered in the future.
- 4.3 In addition to the extensive, comprehensive, stakeholder engagement already explained we will do further, targeted work with stakeholder groups and individual people who use services – particularly if proposals would result in a change to the service they currently receive. We will do this on a concurrent, ongoing basis and will continually report feedback into Members through the various P&P and constituency committees. Once again, we will go over and above the statutory requirement for staff consultation and conduct extensive work with our workforce – through a series of briefings, focus groups, surveys and round table discussions throughout the organisation.
- 4.4 Further engagement will take place with stakeholder groups throughout the borough, particularly those groups with an interest in particular areas of Council business and investment; such as the Schools' Forum, the Wirral Chamber of Commerce, Clinical Commissioning Groups and Environmental Forums. The Council will further schedule a series of detailed workshops with organisations in the community, voluntary and faith sector to ensure their involvement in this process is fully recognised and maximised.

#### **5.0 RELEVANT RISKS**

- 5.1 A Governance Board and project team has been established and will meet regularly to develop and deliver the project plan for the Future Council debate, and will employ robust risk management arrangements. The key risk for this project is that failure to deliver a successful project will leave the Council unable to develop a corporate or financial plan and make the budget savings required up to 2016.

#### **6.0 OTHER OPTIONS CONSIDERED**



- 6.1 Council has made a commitment that all decisions related to the budget setting process should be underpinned by comprehensive, genuine and robust consultation with all stakeholders. Therefore no further options have been considered.

## **7.0 CONSULTATION**

- 7.1 The Council has agreed with the voluntary, community and faith sector to define and strengthen relationships between these sectors for the benefit of all Wirral communities. There is a commitment to extensive consultation with local communities. The legal responsibilities regarding consultation and engagement are set out below.

## **8.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

- 8.1 Engagement with organisations within the voluntary, community and faith sector has taken place and this work will continue to ensure that, where applicable, the sector is fully engaged and able to provide those services where a commissioning need may arise.

## **9.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

- 9.1 This project will be delivered through existing resources, and will be informed by the work completed by EY as part of the 'Transforming Wirral Council' budget option agreed by Council on December 16 2013.

## **10.0 LEGAL IMPLICATIONS**

- 10.1 Recent case law has made it clear that any consultation undertaken must be meaningful, informed and reasonable. Failure to ensure this could lead to legal challenge and any decision taken which takes into account the consultation could be undermined and open to challenge by way of Judicial Review. The Local Government and Public Involvement in Health Act 2007 came into force in April 2009 and introduced a duty for local authorities to involve, inform and consult with their communities. The duty is wide-ranging and applies to the delivery of services, policy and decision making and means the Council must consult relevant individuals, groups, businesses, organisations and other stakeholders that the Authority considers likely to be affected by, or have an interest in, their actions and functions.

## **11.0 EQUALITIES IMPLICATIONS**

- 11.1 Yes and Impact Review is attached: [INSERT LINK WHEN DONE](#).

## **12.0 CARBON REDUCTION IMPLICATIONS**

- 12.1 A number of potential service changes, including the changed use of buildings across the borough, could bring benefits in terms of carbon reductions.

## **13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

- 13.1 Potential community safety implications based on service re-design and other associated changes.

## **14.0 RECOMMENDATION/S**

14.1 That Cabinet authorises the Chief Executive to proceed with the project outlined within the report, engaging with Members and External stakeholders as proposals for the 'Future Council' are developed.

14.2 That Cabinet requests further progress reports to be developed at regular stages throughout the project.

14.3 That Cabinet notes the completion of the work around the development of the Shared Services Business Case, and having taken into account the details in paragraphs 2.11 to 2.16, Cabinet agrees to pause further work in this regard and that this be integrated into our Future Council developments.

#### **15.0 REASON/S FOR RECOMMENDATION/S**

15.1 The recommendations respond to the Cabinet and Council commitment that budget and major service change decisions should be taken on the basis of robust, comprehensive and genuine consultation with Wirral residents, Council staff and all stakeholders.

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#### **SUBJECT HISTORY (last 3 years)**

<b>Council Meeting</b>	<b>Date</b>



## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT:</b>	<b>LOCAL WELFARE ASSISTANCE SCHEME</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>HEAD OF BUSINESS PROCESSES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER</b>	<b>COUNCILLOR PHIL DAVIES</b>
<b>KEY DECISION?</b>	<b>YES</b>

#### **1.0 EXECUTIVE SUMMARY**

1.1 This report provides Cabinet with an update on the local discretionary support scheme “Local Welfare Assistance” introduced in April 2013. Wirral’s scheme was approved by Cabinet on 24 January 2013 and a further report reviewing the scheme with recommendations for future years was requested. This report recommends specific scheme amendments for 2014/15 and is made in light of this grant funding only being available for 2014/15 and that an authority has no statutory requirement to have a scheme and locally specifies its own scheme.

#### **2.0 BACKGROUND AND KEY ISSUES**

2.1 The Government published the White Paper “Universal Credit: welfare that works” on 11 November 2010 which set out proposals to reform the welfare system and which included reform plans for the Social Fund. The subsequent Welfare Reform Act 2012 included powers to end the discretionary elements of the Social Fund. From April 2013 the discretionary Crisis Loans for Living Expenses and Community Care Grant elements of the Social Fund administered by the Department of Work and Pensions were abolished. Funding was transferred to Local Authorities for them to provide a replacement local scheme.

2.2 Crisis Loans were intended for people unable to meet their immediate short term needs in an emergency or as a consequence of disaster, and were awarded for immediate living expenses in order to avoid serious damage to the health and safety of the applicant or a member of their family. Community Care Grants were primarily intended to help vulnerable people live as independent a life as possible in the community and were dependant on receipt of income related benefit.

2.3 The Department for Work and Pensions (DWP) continues to administer the discretionary Crisis Loan Alignment and Budgeting Loans which they are gradually replacing with new national schemes for Short Term Advances and Budgeting Advances. The DWP also continues to administer the regulated elements of the Social Fund (such as Funeral Payments, Cold Weather Payments, Winter Fuel Payments and Sure Start Maternity Grants).

- 2.4 Following consultation Wirral Council developed a policy for the provision of a Local Welfare Assistance Scheme aimed at supporting those most in need. The Policy was approved by Cabinet on 24 January 2013 (minute 168) and the scheme in place aims to meet the presented needs of the applicant through provision of goods or items rather than cash. A longer term aim of the scheme is to support applicants in identifying and addressing the underlying causes giving rise to the application, such as drug or alcohol abuse or poor budgeting skills.

#### **LOCAL WELFARE ASSISTANCE SCHEME 2013/14**

- 2.5 Residents apply for Wirral's LWA scheme via on-line application available on the Council's website. Whilst it was anticipated that many potential applicants may have difficulties in accessing the scheme in this way, and the service made provision to support those needing assistance, in reality an overwhelming majority of applicants have been able to complete the application process unassisted.
- 2.6 Two self access kiosks have been installed in the Conway Centre in central Birkenhead, the busiest one stop shop. 3,971 people have used these kiosks to find out about the scheme, and 2,946 people have used a kiosk to make an application. Most other one stop shops have ready access to the library public access PC's, and there are plans to install kiosks in Seacombe and Bebington to provide access to the scheme from these sites.
- 2.7 The call centre recruited a small number of temporary staff to help respond to telephone enquiries relating to the scheme and at the same time promote self access via online application. Over 5,500 calls have been received since the scheme's inception and 95% have been handled at the first time of offering.
- 2.8 The assessment and processing part of the scheme is administered by housing benefit staff, and there have been significant advantages to placing the scheme within this service including:
- Staff are experienced in making discretionary assessments, have a key knowledge of the benefits system and can establish what benefits should be in payment and when they are likely to be due.
  - Staff have access to benefits information so they can establish identity and residency without the need for the customer to provide additional supporting documentation which minimises complexity and delay.
  - Staff consider other awards such as a discretionary housing payment and council tax discount where appropriate, which helps the applicant with a view to maximising any other support or entitlement not being accessed or claimed.
  - Staff identify anomalies in applications when reviewing the information held in housing benefit claims, and can ensure that LWA funds are protected from abuse and focussed on those in real need. This was shown in a prosecution which resulted in an LWA applicant pleading guilty to the offence of fraud, and being sentenced to 60 hours' unpaid work plus costs.
  - Staff similarly identify anomalies in housing benefit applications arising from information provided in the LWA application and are thus able to detect fraud and error in housing benefit claims.

- 2.9 Assessment staff give consideration to a number of factors in determining whether an award should be made. These are;
- Whether the support requested is available under the scheme
  - Whether the criteria outlined in the policy have been met
  - Whether a benefit payment is due and, if so, when
- 2.10 Where it is considered a LWA award is appropriate to the applicant's circumstances, an arrangement will be made to either;
- Deliver the item(s) requested to the person's home, or
  - Provide a purchase card for collection at a one stop shop of the applicant's choosing. The card is used to purchase the item(s) required.
- 2.11 The scheme has been successful in meeting the needs of the most vulnerable, and has received a number of positive comments and thus far no complaints have been received about the scheme and its administration.

### **FINANCIAL REVIEW**

- 2.12 The Department for Work and Pensions (DWP) allocated Wirral Council programme funding of £1,345,925 for the provision of awards under this scheme. This was less than the amount spent by the DWP on awards under the Social Fund scheme for the elements no longer administered by them. In spite of this, and in common with other local authorities, significantly less has been awarded under the scheme in the first nine months than had been predicted. This has enabled us to redefine 'essential items' to include more items such as floor covering, clothing and footwear.
- 2.13 Financial support has also been extended to the Emergency Duty Team based in Families & Wellbeing, as well as the use of supermarket vouchers issued to support vulnerable people outside of normal office opening hours. Closer working with the Supporting People team in Regeneration & Environment has been developed to ensure applications from hostel dwellers are processed quickly and effectively. This allows residents to be moved on more quickly and reducing the service's expenditure on hostel accommodation.

### **ANALYSIS OF APPLICATIONS**

- 2.14 In the first nine months of the scheme, the Council received 5,552 applications for support. This compares to 12,880 Social Fund applications for crisis loan items, crisis loan living expenses, crisis loan alignments and community care grants made to the DWP for the same period in 2011. The figures for 2012 are not available although our figures show an increase in applications with figures at the end of February 2014 having risen to 7,308. It is also noteworthy that the DWP scheme was a loan which was then repaid through ongoing benefit whereas the authority scheme is an award.
- 2.15 This significant reduction in numbers of applications is not easy to explain given the increasingly difficult economic situation and the impact of the welfare reforms. This may reflect the work of local authority's looking at a wider range of options that people making claims have available rather than under the previous scheme of cash payments. It is evident that a non cash system has proven to be not as attractive to

a number of previous applicants alongside the more robust checking and verification process the authority undertakes that better identifies real need as well as alternative options. The scheme is applied in such a way that applicants are offered access to longer term solutions on financial difficulties and are pointed to money debt advice which the authority has actively supported through the Voluntary Sector.

2.16 However, this experience has been mirrored across the country, and the anticipated numbers of applications have not materialised to the same level as under the DWP loan scheme. An informal comparison on Merseyside shows that this is a similar picture in neighbouring authorities. An updated figure for Wirral shows 41% of grant spent with others reporting between 15% and 39%. As this report later highlights a number have looked to now support options wider than a direct support scheme. These are hoped to provide a base for ongoing support infrastructure once this government grant funding is withdrawn in 2015 and this options needs to be considered for its relevance in Wirral.

2.17 The age brackets of applicants closely relate to the age demographic of Wirral applicants under the old scheme administered by the DWP, which would indicate that the majority of applicants are still those that would have qualified under the old scheme.

Age Band	% of Applicants Wirral LWA Scheme	% of Applicants DWP Social Fund Scheme
65+	1	1
55-64	5	5
45-54	15	16
35-44	21	22
25-34	31	27
18-24	26	28
16/17	1	1
u/16	0	0

2.18 88% of the applications received have been from single applicants and only 12% from couples. 45% of applicants have dependant children and 55% do not.

2.19 17% of applications came from people living in hostels or homeless, with a further 2% living with parents or friends. 36% of applications came from tenants of registered social landlords, and 40% from private tenants. Only 3% were owner occupiers and the remaining 2% classified themselves as 'other'.

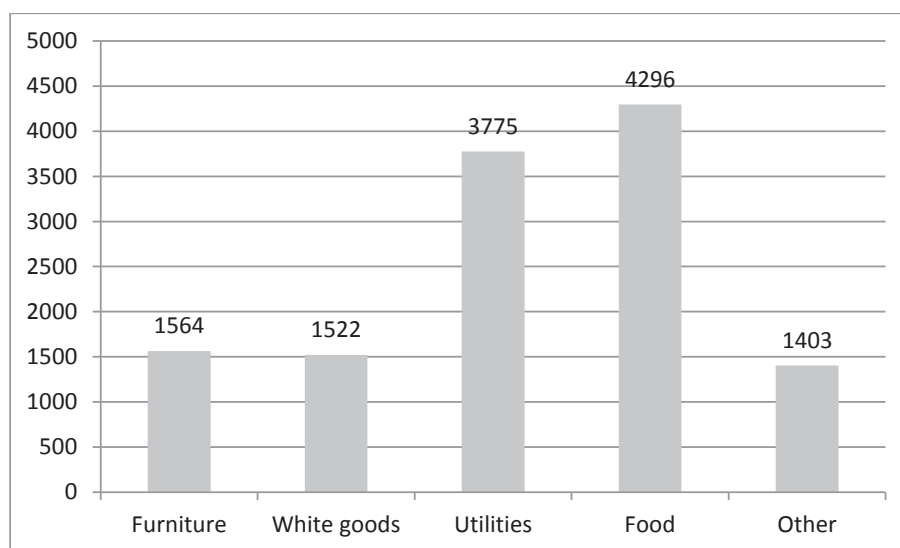
2.20 The reasons behind the applications are requested in the application process. The reasons provided by the applicant have been analysed, and identified as:

Reason for application	%
Interruptions or delays to DWP benefit payments	17
Crisis	59
Disaster	1
Homeless or leaving care / detention	4
Other	18

2.21 A significant number of applications for support are due to benefit suspensions or delays in getting benefits into payment. The DWP does make some provision for those who are adversely affected in this way, but access to this provision is very severely restricted and the majority of people affected are not able to access any of the DWP hardship payments.

2.22 A further analysis of the reasons in the table above under the title “crisis” shows that the majority of applicants need support as they are struggling to cope with the limited budget available to them. Many of these people are at risk of exacerbating their financial problems by accessing funds at very high interest rates, either from legitimate or illegal money lenders. Some have already used loan sharks. Repayment has left them with no money to buy food or heat or light their homes. 77% of the applicants requested help to buy food, and 68% needed help to pay for gas and / or electricity.

The table below shows a breakdown of the reasons for application in the first nine months of the scheme;



#### **DETAILS OF AWARDS MADE**

2.23 During the first nine months of the scheme 59% of applications were successful and 41% were refused because they did not meet the basic criteria set out in the policy.

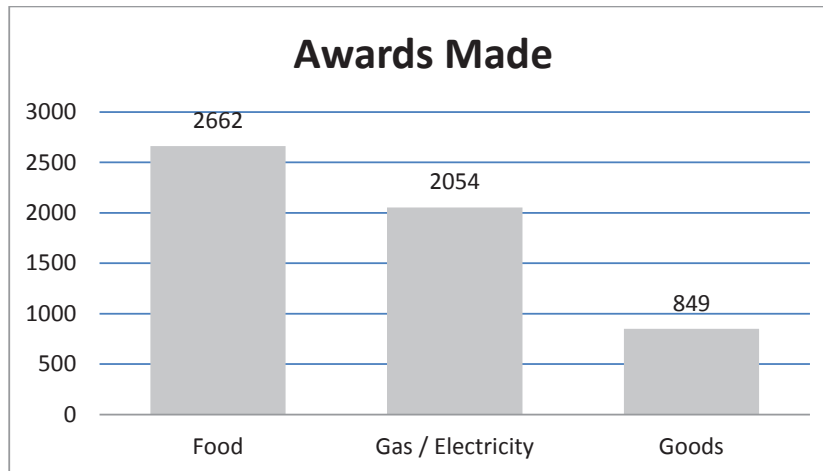
2.24 An analysis of awards made against the support requested shows that;

- 62% of applications that included a request for help with the provision of food were successful,
- 54% of applications that included a request for help with gas and electricity costs were successful,
- 61% of applications that included a request for help with the provision of essential items were successful.

2.25 Of the awards made for the period April to December;

- 82% included an amount for food,

- 63% included an amount for gas and / or electricity, and
- 26% included the provision of essential items (eg of furniture)



- 2.26 These awards reflect the general principles of the scheme; that awards are to be made where there is a risk to the health or wellbeing of the applicant and/or any dependants.
- 2.27 84% of applications are being processed within a day, and this includes awards where there is no eligibility and non urgent awards, for example for furniture items required for a person to move out of hostel accommodation.
- 2.28 234 applications were reviewed on appeal in the first nine months of the scheme. These appeals are handled internally within Housing Benefits by separate officers. A significant number of appeals result from a refusal for a budgeting advance from the DWP.

### **ADMINISTRATIVE AND STAFFING IMPACT**

- 2.29 The implementation and ongoing administration of the scheme has had a significant impact on the Housing Benefit assessment function, at a time when handling a significant increase in work via the massive changes under Welfare Reform. This has seen Benefits work increase and at the same time additional support has been focused in addressing the requirements of the Personal Finance Unit assessment and recovery work.
- 2.30 Customer Service staff have also been significantly impacted upon by the cumulative effects of all welfare reforms. LWA applicants awarded a payment card collect it from a one stop shop. Those who are not eligible for support from the LWA scheme may also be referred to one stop shops for a food bank voucher in certain circumstances. Food Bank voucher issues have increased massively since these changes and we continue to work closely with the charity for the benefit of people who need to access this service.
- 2.31 The successful implementation of the scheme has been due to the flexibility and commitment shown by staff in these areas.
- 2.32 The application process, mainly on line, has proven to be accessible and easy to use.

- 2.33 The number of applicants each week has increased as the year has progressed. Weekly payments starting at around £4,500 per week in April 2013 and are now up to an average £24,000 per week in February 2014. This is as a result of the ongoing publicity work targeting potential claimants and partners in the voluntary and housing sectors who work with likely applicants.

#### **COMMUNICATION OF THE SCHEME**

- 2.34 In common with other local authorities, the launch of the Local Welfare Assistance scheme was low key in year one. We did ensure that partner organisations were aware of the scheme and made information available on the Council's website. We also liaised closely with the Job Centre Plus, so they could signpost social fund applicants in the right direction.
- 2.35 Analysis has shown that there are few applications from older people, who may be struggling financially but are unaware of the scheme. Similarly the majority of applications come from those out of work, whilst we know many low paid employees also find it difficult to make financial ends meet. We will look to work more closely with key partner organisations to ensure as many vulnerable residents are aware and can access the scheme to be supported through difficult times.
- 2.36 Funding is only guaranteed for 2014/15 and government have reviewed this and this funding is not to be maintained after this. The authority will have to decide what if any support scheme is in place in 2015/16 and from where it is funded. Therefore, it is imperative that the grant funding is used to maximise ongoing support that will allow the most vulnerable to be best supported going forward.

#### **POLICY REVIEW**

- 2.37 Following a review of the policy in the light of the first nine months' of the scheme, a revised policy has been drafted for 2014/15 and is appended to this report (Appendix 1). Only a small number of amendments have been made to the scheme and the main changes are;

For a request for support to remain or become established in the community:

- There is no longer a requirement for a referral from an organisation which supports vulnerable people
- There is no longer a requirement that the applicant is due to leave a care home, hospital or prison within six weeks

- 2.38 These amendments allow the scheme to be used to support people moving out of hostel or other temporary accommodation, thus reducing the cost to the Council of temporary accommodation.
- 2.39 There is also an amendment in Section 3 of the policy, adding paragraph 3.5 which outlines action to be taken in the event of an under spend of the budget, looking at wider ways of supporting the principles of the scheme.
- 2.40 Cabinet is asked to approve these revisions to the policy for 2014/15.

#### **FUTURE OPTIONS AND PROPOSALS**

- 2.41 The grant that has been given to the authority is guaranteed for this year and 2014/15, after which central government have formally made clear that it will not be



separate and will form part of settlement considerations. No specific sum will be identifiable and all authorities will have to consider what if anything they do in this regard from within reducing resources from 2015/16. 2014/15 is therefore an opportunity to identify and decide on support for any initiatives that may in the long lasting in supporting Wirral's most vulnerable residents.

2.42 Recent benchmarking activity has identified a number of examples of innovative practices and partnership working already being put forward elsewhere. This includes possible support for families and/or the homeless, working closer with Job Centre advisors, working with the Voluntary sector on budgeting advice & support and added to this is potential support for local Credit Unions, Food Banks or other such organisations:

2.43 There is no obligation on an authority to have a scheme and it can decide not to extend its activity and use the grant for other authority purposes. If Members are minded such areas could be reviewed corporately and reported on which offer a feasible proposal, the implications of each and how best any could be implemented. Cabinet is asked to support a further report detailing which, if any, options can best be proposed to taken forward.

### **3.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

3.1 The authority continues to engage with partner organisations to provide a scheme that responds to immediate crises and helps address underlying issues identified.

### **4.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

#### **4.1 FINANCIAL:**

4.1.1. The grant funding is only available for the years 2013/14 and 2014/15 and is £1,345,925 per annum. This was £229,575 less than the DWP full year expenditure against Crisis Loans and Community Care Grants in 2011/12 however the DWP scheme was largely a loan scheme reclaimed back through ongoing benefits. It is not a legal requirement to have an assistance scheme of this type and the grant is not ring fenced to this specific area, thus any under spend remains in the authority. Given the uncertainty of demand levels the policy as amended allows for prioritisation of applications in order to protect the finite funding available for the scheme.

4.1.2. As at 31<sup>st</sup> December 2013 £389,815 had been spent in respect of 3,489 awards. As at the end of February 2014 this had increased to £561,913 in respect of 4,417 separate awards which reflects the ongoing increase in awards and applications being handled. Awards may include elements for one or more of the scheme areas (food fuel or white goods).

4.2 IT: There are none arising out of this report.

#### **4.3 STAFFING:**

4.3.1. To ensure this scheme was properly and fully administered Housing Benefits have had two experienced team leaders manage the scheme, one undertaking reviews under the appeals process, and the other addressing day to day operational arrangements. The Housing Benefits Operational Manager has also had to give



considerable time to ensure this totally new scheme was up and running in time and that it continues to work effectively. Supporting this there are two full time equivalent assessors undertaking assessment and award functions and includes liaising with suppliers, customers and partners. As scheme applications continue to increase this has required additional support which has been by utilising housing benefit staff.

4.3.2. There have been a number of practical issues for staff to contend with, spending considerable time in contact with many applicants, supporting them through their crises and helping explore alternative options for support.

4.3.3. One stop shop staff report an increase in customers who are upset, angry or worried and they face increasing hostility from customers who are struggling to meet escalating financial commitments or who are refused an LWA award. It is anticipated that this trend is likely to continue as staff contend with an increasingly difficult role as the adverse impacts of welfare reform are seen. Training is being organised to support staff while we keep under review the balance of security in place to support our staff whilst not impacting on the overall environment at sites.

4.4 ASSETS: There are none arising out of this report.

## 5.0 LEGAL IMPLICATIONS

5.1 There is no specific duty on local authorities as to how or if they meet this provision as government views authorities need to be able to be flexible to provide this support in a way that is suitable and appropriate to meet the needs of local communities.

## 6.0 EQUALITIES IMPLICATIONS

6.1 A specific Equality Impact Assessment (EIA) has been undertaken as part of Wirral's scheme development and design, and is accessed through the following link <http://www.wirral.gov.uk/my-services/community-and-living/equality-diversity-cohesion/equality-impact-assessments/eias-2010/finance>

6.2 A national EIA for Welfare Reform can be assessed through the following link: - <http://www.dwp.gov.uk/policy/welfare-reform/legislation-and-key-documents/welfare-reform-act-2012/impact-assessments-and-equality/>

## 7.0 CARBON REDUCTION IMPLICATIONS

7.1 There are none arising out of this report.

## 8.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

8.1 There are none arising out of this report.

## 9.0 RECOMMENDATIONS

9.1 That Cabinet approves the policy as outlined in Appendix 1 as the authority's Local Welfare Assistance Scheme for 2014/15.

9.2 That Cabinet approves a review of other measures that may be used to support vulnerable residents and that proposals are brought before a future meeting as to how they may be progressed.

#### 10.0 REASONS FOR RECOMMENDATIONS

10.1 Members can view and approve the changes to the policy that considers applications for a wide range of support needs and be aware that additional areas can be reviewed.

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**APPENDIX:** Wirral Local Welfare Assistance Scheme Policy 2014/15

**REFERENCE MATERIAL:** None

#### SUBJECT HISTORY:

<b>Council Meeting</b>	<b>Date</b>
Cabinet (min 168)	24/01/13
Council Excellence Overview & Scrutiny (min 42)	27/11/12
Cabinet (min 51)	19/07/12
Council Excellence Overview & Scrutiny (min 98)	26/03/12
Council Excellence Overview & Scrutiny (min 138)	17/11/11
Cabinet (min 118)	22/09/11
Council Excellence Overview & Scrutiny (min 64)	16/03/11

**WIRRAL LOCAL  
WELFARE ASSISTANCE  
SCHEME  
POLICY  
2014/15**

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- 1. Introduction**
- 2. Purpose of the Scheme**
- 3. Financial Constraints**
- 4. Eligibility & Assessment Criteria**
- 5. Accessing the scheme**
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- 7. Appeals**

## **1. Introduction**

- 1.1 The discretionary Crisis Loans for Living Expenses and Community Care Grant elements of the Social Fund administered by the Department of Work and Pensions (DWP) were abolished with effect from April 2013. Funding has been allocated to Local Authorities for the provision of a replacement local scheme.
- 1.2 Crisis Loans were intended for people who were unable to meet their immediate short term needs in an emergency or as a consequence of disaster, and they were awarded for immediate living expenses in order to avoid serious damage to the health and safety of the applicant or a member of their family. Community Care Grants were primarily intended to help vulnerable people live as independent a life as possible in the community and were dependant on receipt of income related benefit.
- 1.3 The DWP continues to administer the discretionary Crisis Loan Alignment and Budgeting Loans which are being replaced with new national schemes for Short Term Advances and Budgeting Advances. The DWP also continues to administer the regulated elements of the Social Fund (Funeral Payments, Cold Weather Payments, Winter Fuel Payments and Sure Start Maternity Grants).
- 1.4 The DWP intended that Local Authorities would need to consider the scheme's original purpose when developing local schemes, and that they would develop schemes that were flexible to meet the needs of local communities.
- 1.5 The funding provided for the scheme was less than the previous DWP spend on Crisis Loans and Community Care Grants, and the new local schemes therefore need to address issues of reliance on the scheme and prioritise those most in need. The DWP expected the funding to be concentrated on those facing greatest difficulty in managing their income and to enable a more flexible response to unavoidable need.
- 1.6 Following analysis and consideration of the issues identified during the first six months of delivering the local scheme, this document sets out the revised year one policy of the Council's provision. This policy will continue to be reviewed and further developed for subsequent years.

## **2. Purpose of the scheme**

- 2.1. The scheme aims to provide emergency support to people who have insufficient resources to meet their own or their family's immediate short term needs, which if not met would pose a serious risk to their health and wellbeing, or would put at risk their ability to remain or establish themselves in the community.
- 2.2. The scheme will not be appropriate where the authority considers that the applicant has alternative means of addressing those needs.
- 2.3. Consideration will also be given to those applicants with an identified immediate need that cannot be met through any other channel, and which the applicant cannot reasonably be expected to fund themselves.
- 2.4. The scheme will only be appropriate where the support required is not available through any other provision. Where we consider it reasonable to expect the applicant to use that alternative provision, the application will be refused and the applicant will be appropriately signposted and supported to access that provision.
- 2.5. The scheme intends to avoid cash payments - the intention is to meet the presented needs through the provision of goods or services rather than with cash awards. Cash will only be considered as a last resort where there is no other way of meeting the need.
- 2.6. Support will be targeted at those most in need through consideration of the circumstances of each application, as explained in section 4.
- 2.7. In the longer term, the scheme will aim to provide long term solutions where applicable by addressing any underlying issues identified during the application process. Working with partner organisations we aim to develop a network of support which can be accessed by referral via the scheme.

### **3. Financial Constraints**

- 3.1 Government funding of the scheme is finite and may not be adequate to support all applications for support through this scheme.
- 3.2 Close and regular financial monitoring of the scheme will take place to understand the pressures on the scheme and to inform the extent to which the scheme can support applications.
- 3.3 The eligibility criteria in section 4 define the basic criteria required in order for an application to be considered. Having met those basic criteria, decisions on support or awards which can be provided from this scheme will be dependant on the level of resources available.
- 3.4 Should the levels of applications meeting basic eligibility criteria significantly outweigh available funding then the basic eligibility criteria may need to be amended.
- 3.5 In the event of an under-spend of the LWA budget, consideration will be given to extending financial support to third party partner organisations whose work supports the principles and intentions of this scheme.

## 4. Eligibility & Assessment Criteria

4.1 The eligibility criteria for support under this scheme is focused upon the circumstances, presenting need and level of risk rather than focusing on eligible groups of people.

4.2 To be eligible for access to the scheme **all** of the following criteria must be met:

- Aged 16 or over
- Be a Wirral resident or, in the case of those who are homeless or leaving an institutional establishment, have established links with Wirral
- Support is required to address essential needs of yourself and/or your dependants
- It is demonstrated that there are no other resources or other ways of meeting this need which are considered reasonable

4.3 In order to be eligible for essential immediate support the applicant would also need to be able to demonstrate that there would be a serious risk to the health and wellbeing of the applicant and/or his or her dependants if those needs are not met.

4.4 Examples of essential immediate support needs are:

- Essential food
- Heat/electricity
- Essential supplies associated with infants/children

This list is not exhaustive and applications for other needs claimed as essential and immediate will be considered.

4.5 To be eligible for support to remain or become established in the community where the applicant cannot reasonably be expected to fund items themselves, the following criteria must be met:

- The applicant has essential items or costs associated with establishing or maintaining residence in the community, **and**
- It is demonstrated that there are no other resources or other reasonable ways of meeting this need
- If funding constraints apply, priority will be given to applicants who are supported or who have been referred to the scheme by an organisation which supports vulnerable people



**Or**

- The applicant has to replace essential items (this could be following a disaster or unforeseen event), **and**
- It is demonstrated that there are no other resources or other reasonable ways of meeting this need

4.6 Examples of items or costs that would be considered are:

- Essential domestic appliances<sup>1</sup>
- Essential domestic furniture<sup>2</sup>
- Essential bedding

This list is not exhaustive and applications for other items or expenses claimed as being required to maintain health and wellbeing in the home or in the community will be considered.

4.7 Applications for support to meet essential travel costs may be considered under this scheme. Travel costs will only be considered for travel within the United Kingdom; overseas travel will not be considered due to the financial constraints of this scheme. Examples of travel that would be considered are:

- Travel to attend the funeral of a close relative<sup>3</sup>
- Travel to visit a close relative<sup>3</sup> in care or another institution

This list is not exhaustive and applications for other travel costs will be considered.

4.8 The scheme will not be considered for the following:

- Those applicants who have an income or savings or a member of their household has an income or savings which could be used to meet their needs
- To buy (or repair) TV or satellite equipment
- To meet contract costs for TV packages, mobile phones, broadband etc

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<sup>1</sup> ie a microwave or cooker, a washing machine for those with dependant children or a disability which increases laundry requirements, a fridge for those applicants who cannot shop on a daily basis or who need to store medication in a fridge.

<sup>2</sup> A bed and a form of comfortable seating e.g. sofa/arm chair are considered essential, other furniture such as dining table and chairs, and storage will also be considered but will be given a lower priority.

<sup>3</sup> A close relative is defined as a spouse, parent, grandparent, sibling, child or grandchild or the spouse of any of these relatives.

- 4.9 If the basic eligibility criteria are met then an application will be assessed to quantify the level of priority of the need. This assessment will be based upon the severity of the likely impact if the need is not met.
- 4.10 Outcomes from assessments will be utilised if legitimate demand levels for support from the scheme outweigh the finite level of support available through the scheme's budget. There may therefore be instances where the basic eligibility criteria above are met but an application may be refused because the priority of that application is lower than the scheme's budget can accommodate.
- 4.11 In the longer term an element of the assessment process will be the identification of the underlying causes of the crisis. Applicants will be offered a range of services to support them including benefit maximisation, energy efficiency, debt management and support in finding work or accessing training.

## 5. Accessing the Scheme

- 5.1 Applications and referrals will be available through a number of channels to maximise accessibility.
- 5.2 Applications to access the scheme will be accepted by referral from a range of partner organisations and Council services where an applicant either has an existing relationship with that organisation, or has approached them for guidance and support.
- 5.3 Applicants will need to provide evidence of their identity and residency and, where appropriate, evidence that they meet the eligibility criteria and presenting circumstances.
- 5.4 Initial screening questions will be asked to determine whether
  - an exceptional need has occurred,
  - the basic eligibility criteria are met, and
  - some support can usefully be put in place
- 5.5 Those applicants who meet the eligibility criteria will have their application reviewed with priority given to those requiring emergency support. The scheme will aim to provide a same day decision and award for such emergency cases.
- 5.6 Where appropriate an appointment will be made to review the application, the circumstances of the applicant and the potential options available.
- 5.7 This service will not be available out of hours. However the Council's Emergency Duty Team will continue to respond to the needs of vulnerable adults and children out of hours, and will be supported to do so through the scheme's funding.

## 6. **Methods of Award**

- 6.1 Where a need is identified that cannot reasonably be met by any other scheme, consideration will be given to the provision of goods and / or services to meet that need.
- 6.2 In order to maximise the number of people that can be supported by this scheme, where goods are required we will look to provide second hand refurbished furniture and white goods where appropriate rather than new items.
- 6.3 Where goods cannot be provided directly, consideration will be given to payment cards or vouchers to enable the purchase of such goods. These payment cards or vouchers must be used for the purpose for which they have been requested.
- 6.4 Where a voucher is issued, this may not offer a choice of providers / stores. However the Council will work to ensure that the goods offered by any provider it specifies are of acceptable quality and offer good value to the customer.
- 6.5 Cash will only be issued where there is no identifiable alternative to meeting the need of the applicant.
- 6.6 Where cash is awarded, the sum provided will be sufficient to meet the minimum needs of the applicant and his or her dependants for the period until the applicant's circumstances can reasonably be expected to have changed. This sum will be calculated according to a schedule of rates determined by the Council and will be reviewed at regular intervals.
- 6.7 Repeat applications within 2 years will generally be denied unless the reason for the application is unrelated to the previous award. Where a repeat application is awarded then consideration may be given to providing the award as a loan rather than grant depending on the applicant's ability to repay the award value. The value of the loan will be the cost of the goods and / or service provided by the Council, or the amount of the cash awarded where applicable.
- 6.8 It is unlikely that any further loans will be made whilst a previous loan has an outstanding balance payable, however we will consider the individual circumstances of the application including whether there has been an effort to repay the loan and the amount outstanding.

- 6.9 Where a loan has been made to a couple, both partners will be deemed to be liable for the repayment of the loan.
- 6.10 Where it is likely that an applicant's circumstances will quickly and significantly improve (e.g. a person whose access to bank funds has been temporarily suspended), the first award may be designated as repayable.
- 6.11 Awards may be made to a person other than the applicant where they are:
- Enduring Power of Attorney
  - Lasting Power of Attorney for Property and Affairs
  - Department for Work and Pensions Appointee
  - Housing benefit appointee provided there is no conflict of interest

## **7. Appeals**

- 7.1 Applicants will have a right of appeal if they do not agree with a decision made as to their eligibility. They will also be able to appeal against a decision not to make an award due to budgetary constraints.
- 7.2 All appeals will need to be made at the time of receiving the decision, and will be considered by a more senior member of staff.
- 7.3 Those appeals of decisions where the need is immediate (i.e. food, essential provisions or heating) will be prioritised, and we will aim to make decisions within one working day of receipt of the application.
- 7.4 Where the need is for essential items of furniture or support with travel costs, we will aim to review the decision within 5 working days.
- 7.5 There will be no further right of appeal. However any complaints received by the Council about this process will be handled according to the Council's complaint policy, and used to inform future amendments to arrangements, training and communication requirements with our staff, partners and partner services.
- 7.6 Applicants will not be able to appeal against the amounts laid down in the schedule of rates, or about any other matter laid out in this policy. Any disputes relating to the content of this policy will be treated as a complaint and handled according to the Council's complaint procedure.

## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT:</b>	<b>NATIONAL NON DOMESTIC RATES DISCRETIONARY RELIEF – RETAIL RELIEF POLICY</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>HEAD OF BUSINESS PROCESSES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>COUNCILLOR PHIL DAVIES</b>
<b>KEY DECISION</b>	<b>NO</b>

#### 1.0 EXECUTIVE SUMMARY

- 1.1 This report seeks approval to amend the authority's discretionary rates relief policy for Non Domestic Rates is added to ensure Retail Relief can be appropriately awarded in 2014/15 and 2015/16.

#### 2.0 BACKGROUND AND KEY ISSUES

- 2.1 National Non Domestic Rates are the contribution to Council income from non domestic properties. Sums payable are set by nationally set rate poundages against each property value. This system has been in place since 1990. However as successive national revaluations have been delayed or cancelled the system has been augmented by a series of support measures. These include discretionary relief for charitable, non profit making and sporting organisations, rural relief for single shops in designated areas, small business relief to reduce the payable sum and hardship relief for exceptional cases. These measures are largely funded by central government with some elements proportionately funded by local authorities. Administration of the scheme including collection and recovery is undertaken by each local authority,

- 2.2. The Government announced in its Autumn statement on 5 December 2013 that it will provide further relief of up to £1,000 to all occupied retail properties with a Rateable Value of £50,000 or less for 2014/15 and 2015/16.

- 2.3. A list of the likely type of properties that will benefit from this grant is shown below. The list is not exhaustive:

Shops, Restaurants, Cafes, Drinking establishments, Post Offices, Charity Shops, Furnishing Shops, Petrol Stations, Car Showrooms, Garden Centres, Hairdressers, Travel Agents, Dry Cleaners, Electrical Goods Repair Shops and Funeral Directors.

To qualify the establishment has to be wholly or mainly used as the above.

2.4. The Government do not intend the relief for the following type of business:

Banks, Building Societies, Payday Lenders, Pawnbrokers, Betting Shops,  
Estate Agents, Employment Agencies.  
Medical Services such as Doctors, Dentists, Vets etc.  
Professional services such as Solicitors Accountants Insurance Agents etc.

Again the list is not considered to be exhaustive.

2.5. Qualifying businesses will receive £1,000 or sufficient to reduce the sum due to nil after all other reliefs have been applied. The relief given is irrespective of whether the Rateable Value is £500 or £50,000. The grant will be fully funded by Central Government.

2.6. The Council's software supplier is amending the Revenues system to identify qualifying properties and grant the award the relief automatically in 99% of the cases, no application form will be necessary. Those left will be subject to further investigation before a final decision is made. It is intended that the award will be shown on the 2014-15 Business Rates bill.

2.7. Ratepayers that occupy more than one property will be entitled to relief for each of their eligible properties, notwithstanding that State Aid de minimis limits apply. Each ratepayer will be expected to decide where they apply or cannot due the de minimis rules

2.8. To be able to award this scheme the relief should be adopted as a local relief scheme under Section 47 of the Local Government Act 1998. It is recommended that Wirral's policy mirrors the government's guidance notes issued in 2014 and this Retail Relief policy is added to the authority's current discretionary rates relief policy as is detailed in the appendix to this report. Its adoption will then allow the authority to award this relief.

### **3.0 RELEVANT RISKS**

3.1 If the authority does not adopt this change as part of its discretionary rates relief policy then locally based businesses will be adversely affected.

### **4.0 OTHER OPTIONS CONSIDERED**

4.1 The option to not adopt this scheme is not considered appropriate.

### **5.0 CONSULTATION**

5.1 None is required to adopt this scheme.

### **6. IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

6.1 This will benefit many of these types of groups in Wirral.

### **7.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

7.1 The relief is fully funded by central government in 2014/15 and 2015/16. It is anticipated that between £1.5 to £2.0 million will be awarded to up to 3,500



qualifying businesses in Wirral. The number of actual cases awarded may reduce based upon the outcome of the de-minimis cases identified in Wirral.

7.2. Our staff will have additional responsibility in administering the scheme making decisions on appropriate eligibility based on the criteria.

7.3. The IT system is being changed to accommodate this amendment.

## **8.0 LEGAL IMPLICATIONS**

8.1 There are none arising directly from this report.

## **9.0 EQUALITIES IMPLICATIONS**

9.1 An Equality Impact Assessment in regard this element of NNDR discretionary rate relief is shown at;

<http://www.wirral.gov.uk/my-services/community-and-living/equality-diversity-cohesion/equality-impact-assessments/eias-2010/finance>

## **10.0 CARBON REDUCTION IMPLICATIONS**

10.1 There are none arising directly from this report.

## **11.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

11.1 There are none arising directly from this report.

## **12.0 RECOMMENDATION**

12.1 That the authority's Discretionary Rates Retail Relief Policy adopts the same eligibility criteria as set out by government so that Retail Relief can then be appropriately awarded in 2014/15 and 2015/16.

## **13.0 REASON FOR RECOMMENDATIONS**

13.1 To ensure the authority can grant Retail Relief for 2014/15 and 2015/16.

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**APPENDIX:** Wirral Discretionary Relief Policy 2014/15 – Retail Relief add in.

**REFERENCE MATERIAL:** Department for Communities & Local Government Retail Relief Guidance January 2014

## **SUBJECT HISTORY**

<b>Council Meeting</b>	<b>Dates</b>

## **Wirral Discretionary Rates Relief Policy 2014**

Section 47 of the Local Government Act 1998

### **RETAIL RELIEF 2014/2016**

Retail relief eligibility from 1<sup>st</sup> April 2014 in Wirral will be administered in line with the Department for Communities and Local Government Retail Relief Guidance of January 2014 as set out below;

#### **How will the relief be provided?**

1. As this is a measure for 2014-15 and 2015-16 only, the Government is not changing the legislation around the reliefs available to properties. Instead the Government will, in line with the eligibility criteria set out in this guidance, reimburse local authorities that use their discretionary relief powers, introduced by the Localism Act (under section 47 of the Local Government Finance Act 1988, as amended) to grant relief. It will be for individual local billing authorities to adopt a local scheme and decide in each individual case when to grant relief under section 47. Central government will fully reimburse local authorities for the local share of the discretionary relief (using a grant under section 31 of the Local Government Act 2003). The Government expects local government to grant relief to qualifying ratepayers.
2. Central government will reimburse billing authorities and those major precepting authorities within the rates retention system for the actual cost to them under the rates retention scheme of the relief that falls within the definitions in this guidance. Local authorities will be asked to provide an estimate of their likely total cost for providing the relief in their National Non Domestic Rate Return 1 (NNDR1) for 2014-15 and 2015-16. Central government will provide payments of the local authorities' share to authorities over the course of the relevant years.

#### **Which properties will benefit from relief?**

3. Properties that will benefit from the relief will be occupied hereditaments with a rateable value of £50,000 or less, that are wholly or mainly being used as shops, restaurants, cafes and drinking establishments.
4. We consider shops, restaurants, cafes and drinking establishments to mean:

##### **i. Hereditaments that are being used for the sale of goods to visiting members of the public:**

- Shops –  
(such as: florists, bakers, butchers, grocers, greengrocers, jewellers, chemists, stationers, off licence, newsagents, hardware stores, supermarkets, etc)
- Charity shops
- Opticians
- Post offices
- Furnishing shops/ display rooms  
(such as: carpet shops, double glazing, garage doors)

- Car/ caravan show rooms
- Second hand car lots
- Markets
- Petrol stations
- Garden centres
- Art galleries  
(such as where art is for sale/hire)

**ii. Hereditaments that are being used for the provision of the following services to visiting members of the public:**

- Hair and beauty services  
(such as: hair dressers, nail bars, beauty salons, tanning shops, etc)
- Shoe repairs/ key cutting
- Travel agents
- Ticket offices e.g. for theatre
- Dry cleaners
- Launderettes
- PC/ TV/ domestic appliance repair
- Funeral directors
- Photo processing
- DVD/ video rentals
- Tool hire
- Car hire

**iii. Hereditaments that are being used for the sale of food and/ or drink to visiting members of the public:**

- Restaurants
- Takeaways
- Sandwich shops
- Coffee shops
- Pubs
- Bars

5. To qualify for the relief the hereditament should be wholly or mainly being used as a shop, restaurant, cafe or drinking establishment. In a similar way to other reliefs (such as charity relief), this is a test on use rather than occupation. Therefore, hereditaments which are occupied but not wholly or mainly used for the qualifying purpose will not qualify for the relief. The E.U. De Minimis Regulations 1407/2013 apply to this relief.
6. The list set out above is not intended to be exhaustive as it would be impossible to list the many and varied retail uses that exist. There will also be mixed uses. However, it is intended to be a guide for authorities as to the types of uses that government considers for this purpose to be retail. Authorities should determine for themselves whether particular properties not listed are broadly similar in nature to those above and, if so, to consider them eligible for the relief. Conversely, properties that are not broadly similar in nature to those listed above should not be eligible for the relief.

7. As the grant of the relief is discretionary, authorities may choose not to grant the relief if they consider that appropriate, for example where granting the relief would go against the authority's wider objectives for the local area.
8. The list below sets out the types of uses that government does not consider to be retail use for the purpose of this relief. Again, it is for local authorities to determine for themselves whether particular properties are broadly similar in nature to those below and, if so, to consider them not eligible for the relief under their local scheme.

**i. Hereditaments that are being used for the provision of the following services to visiting members of the public:**

- Financial services  
(e.g. banks, building societies, cash points, bureau de change, payday lenders, betting shops, pawn brokers)
- Other services  
(e.g. estate agents, letting agents, employment agencies)
- Medical services  
(e.g. vets, dentists, doctors, osteopaths, chiropractors)
- Professional services  
(e.g. solicitors, accountants, insurance agents/ financial advisers, tutors)
- Post office sorting office

**ii. Hereditaments that are not reasonably accessible to visiting members of the public**

**How much relief will be available?**

9. The total amount of government-funded relief available for each property for each of the years under this scheme is £1,000. The amount does not vary with rateable value and there is no taper. There is no relief available under this scheme for properties with a rateable value of more than £50,000.

## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT</b>	<b>SUNDRY DEBTOR WRITE-OFFS</b>
<b>WARD/S AFFECTED</b>	<b>ALL</b>
<b>REPORT OF</b>	<b>HEAD OF BUSINESS PROCESSES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER</b>	<b>COUNCILLOR PHIL DAVIES</b>
<b>KEY DECISION</b>	<b>YES</b>

#### 1.0 EXECUTIVE SUMMARY

1.1 This report recommends the writing off of a range of sundry debts. This report includes £504,555.51 in outstanding Adult Social Services client contributions, £765,150.11 in miscellaneous Adult Social Service debt, £146,926.70 in outstanding overpayments of Housing Benefit and £1,795,347.67 in outstanding general sundry debtor accounts.

1.2 This is part of the process of cleansing the long outstanding DASS debt identified in the independent report considered by 23 May 2013 Cabinet.

#### 2.0 BACKGROUND AND KEY ISSUES

2.1 The total historical debt relating to outstanding client contributions processed by the Collection and Recovery Team within the Personal Finance Unit team so far amounts to £4,726,815.

Submitted for write off	£2,263,513.35
Paid In Full	£883,918.26
Part Paid	£631,194.52
Instalments arranged	£74,083.54
Cancelled Debt	£180,646.59
Referred to Legal Services	<u>£693,459.44</u>
<b>TOTAL PROCESSED DEBT</b>	<b>£4,726,815.70</b>

2.2 Progress on the historical debt will be monitored in order to establish the optimum structure for a permanent recovery team.

### 3.0 ADULT SOCIAL SERVICES

- 3.1 Write-off values are summarised below and a breakdown of cases over £5,000 and their reasons for write of is attached as appendix 1 for personal finance unit client contributions and appendix 2 for other adult social service debts:

Client contribution debts under £1,000

<b>Write off description</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Write off - irrecoverable	99	35,114.51
Write off statute barred	5	2,109.44
Write off - deceased	71	26,572.67
<b>Total</b>	<b>175</b>	<b>63,796.62</b>

Client contribution over £1,000 and under £5,000

<b>Write off description</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Write off - irrecoverable	20	48,083.46
Write off statute barred	6	11,546.21
Write off - deceased	12	22,364.20
<b>Total</b>	<b>38</b>	<b>81,993.87</b>

Client contribution debts over £5,000

<b>Write off description</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Write off - irrecoverable	15	£171,602.36
Write off statute barred	2	£18,413.37
Write off - deceased	6	£168,749.29
<b>Total</b>	<b>23</b>	<b>£358,765.02</b>

#### Client Contribution Totals

<b>Write off amounts</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Over £5,000.00	23	£358,765.02
Over £1,000.00	38	81,993.87
Under £1,000.00	175	63,796.62
<b>Total</b>	<b>236</b>	<b>£504,555.51</b>

- 3.2 Permission is sought from Cabinet to write off the debts over £1,000.

3.3 Miscellaneous Adult Social Services debts under £1,000

<b>Write off description</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Write off - irrecoverable	76	£23,560.78
<b>Total</b>	<b>76</b>	<b>£23,560.78</b>

Miscellaneous Adult Social Services debts over £1,000.00 and under £5,000

<b>Write off description</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Write off - irrecoverable	18	£36,100.76
<b>Total</b>	<b>18</b>	<b>£36,100.76</b>

Miscellaneous DASS debts over £5,000

<b>Write off description</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Write off - irrecoverable	19	£705,488.57
<b>Total</b>	<b>19</b>	<b>£705,488.57</b>

Miscellaneous DASS debt totals:

<b>Write off amounts</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Over £5000.00	19	£705,488.57
Over £1000.00	18	£36,100.76
Under £1000.00	76	£23,560.78
<b>Total</b>	<b>113</b>	<b>£765,150.11</b>

3.4 Permission is sought from Cabinet to write off these debts over £1,000.

3.5 **HOUSING BENEFITS**

Write offs are in respect of individual debts in excess of £1,000. Where there is ongoing entitlement to HB, any overpayments are recovered from those weekly payments. Where there is no current entitlement an invoice is raised and the debt then goes through the recovery process, the final stage being referral to the debt collection agency. Housing Benefit write-offs are summarised below and a breakdown of cases and the reasons for write off is attached at Appendix 3.

Housing benefit overpayments over £1,000 under £5,000

<b>Write off description</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Write off - irrecoverable	7	12,630.43
Write off statute barred	29	54,929.79
<b>Total</b>	<b>36</b>	<b>67,560.22</b>

Housing benefit overpayments over £5,000

<b>Write off description</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Write off - irrecoverable	2	15,880.57
Write off statute barred	6	63,485.91
<b>Total</b>	<b>8</b>	<b>79,366.48</b>

Housing Benefit overpayments totals:

<b>Write off amounts</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Over £5000.00	8	79,366.48
Over £1000.00	36	67,560.22
<b>Total</b>	<b>44</b>	<b>146,926.70</b>

3.6 Permission is sought from Cabinet to write off these debts over £1,000.

3.7 **GENERAL SUNDRY DEBTORS**

Write offs are in respect of individual debts in excess of £1,000 and are summarised below and a breakdown of cases and the reasons for write off is attached at Appendix 4.

Sundry Debtor accounts over £1,000 under £10,000

<b>Write off description</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Write off - irrecoverable	3	17,454.33
Write Off - Liquidation	2	13,180.98
Write off statute barred	14	94,712.92
<b>Total</b>	<b>19</b>	<b>125,348.23</b>



Sundry Debtor accounts over £10,000

<b>Write off description</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Write off - irrecoverable	2	1,618,368.30
Write off - statute barred	4	51,631.14
<b>Total</b>	<b>6</b>	<b>1,669,999.44</b>

Sundry Debtor account totals:

<b>Write off amounts</b>	<b>Number of cases</b>	<b>Value (£'s)</b>
Over £5000.00	19	125,348.23
Over £10000.00	6	1,669,999.44
<b>Total</b>	<b>32</b>	<b>1,795,347.67</b>

3.8 Permission is sought from Cabinet to write off these debts over £1,000 and note that debts under £1,000 have been written off by the S151 Officer under her delegated powers and are reported annually within the Collection Summary report before Cabinet early in the new financial year.

#### 4.0 **RELEVANT RISKS**

4.1 If debts are not written off they have the potential to inflate what might be thought collectable.

#### 5.0 **OTHER OPTIONS CONSIDERED**

5.1 The Collection and Recovery Team has already endeavoured to recover the outstanding client contribution debts without success.

#### 6.0 **CONSULTATION**

6.1 Relevant officers of the Council have been consulted in preparing this report.

#### 7.0 **IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

7.1 There are none arising directly from this report.

## 8.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS

- 8.1 Staffing - Following the reports to Cabinet on 23 May 2013 staffing resources within the Personal Finance Unit, based in the Benefits Service of Transformation & Resources Department, were increased initially via secondment from Adult Social Service and from other parts of the Benefit service. Benefit service staff continue supporting within the section and the permanent staffing resources were recently increased by Cabinet approval in order to improve income recovery.
- 8.2 Financial - Debts written off as irrecoverable are charged against the Council provision for bad debts which is reviewed annually in accordance with the requirements of accounting practice. As detailed in the revenue out-turn report the provision at 31 March 2013 was £10.9 million which compares to the £7.6 million at 31 March 2012.
- 8.3. All debts go through the recovery process and in each case an appropriate and verified reason for non collection must be identified and agreed. Non collection reasons include;
- Debt may too costly to recover (the costs of the legal process as set against the size of the debt, or where a debtor is outside the UK),
  - Debts which have not been recovered and are now statute barred (these are debts unrecovered that are over six years old),
  - There is no one to recover against (where a person has died without an estate or the estate is insufficient)
  - Debt as a Charge against a property is not realised
  - The residual sum that is left after an Arbitration or Compromise Agreement is reached.
- 8.4. This is in line with the Eugene Sullivan report on bad debts that was reported to Cabinet 23 May 2013 (minute 248) identified the need for the authority to review its older debts and ensure that they were written off where recovery action was not appropriate. Much of the debt reported here is part of that review.
- 8.5. The write off process needs to be seen on context against the level of debt recovered on an ongoing basis in all service areas. This work is reported in the annual collection statement and monthly monitoring reports to Cabinet.

8.5. The total sum and cases contained in this report are as follows;

		£
Adult Social Service Client Contributions	236	504,555.51
Adult Social Services	113	765,150.11
Housing Benefit Overpayments	44	146,926.70
Sundry Debtors	32	1,795,347.67
<b>Total</b>	<b>425</b>	<b>3,211,979.99</b>

8.6. There are no Asset or IT implications arising from this report

#### 9.0 **LEGAL IMPLICATIONS**

9.1 Those debts recommended for write-off have been agreed by the Head of Legal and Member Services.

#### 10.0 **EQUALITIES IMPLICATIONS**

10.1 There are none arising directly from this report.

#### 11.0 **CARBON REDUCTION IMPLICATIONS**

11.1 There are none arising directly from this report.

#### 12.0 **PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

12.1 There are none arising directly from this report.

#### 13.0 **RECOMMENDATIONS**

13.1 That the report is noted and the debts written-off as detailed in this report.

#### 14.0 **REASONS FOR RECOMMENDATIONS**

14.1 So Members are aware of the collection activity undertaken in these areas.

14.2 Sums written off are approved either under delegation or by Cabinet.

REPORT AUTHOR: MALCOLM FLANAGAN  
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## APPENDICES

- Case details:
1. Client Contributions
  2. Miscellaneous Adult Social Services
  3. Housing Benefits
  4. General Sundry Debtors

## SUBJECT HISTORY

<b>Council Meeting</b>	<b>Date</b>
Cabinet - Collection Summary 2010/11	24 June 2011
Cabinet - Collection Summary 2011/12	21 June 2012
Cabinet – Financial Out Turn 2012/13 - Collection Summary	13 June 2013
Cabinet – Write off report	11 July 2013
Cabinet - Write off report	16 January 2014

**APPENDIX 1****Adult Social Service Client Contributions write off of debts over £5,000**

<b>Case No</b>	<b>Debt Outstanding £</b>	<b>Write Off reason</b>
1	103,580.90	Deceased – no monies in estate
2	20,829.63	Irrecoverable
3	19,896.37	Deceased – no monies in estate
4	18,649.81	Irrecoverable
5	16,177.18	Irrecoverable
6	15,670.00	Irrecoverable
7	14,880.91	Irrecoverable
8	13,688.46	Deceased – no monies in estate
9	12,170.14	Deceased – no monies in estate
10	11,970.35	Deceased – no monies in estate
11	11,453.28	Irrecoverable
12	11,443.23	Irrecoverable
13	10,359.17	Irrecoverable
14	10,296.49	Statute Barred
15	10,295.56	Irrecoverable
16	9,968.10	Irrecoverable
17	8,116.88	Statute Barred
18	8,004.81	Irrecoverable
19	7,443.07	Deceased – no monies in estate
20	7,308.87	Irrecoverable
21	5,792.47	Irrecoverable
22	5,602.39	Irrecoverable
23	5,166.95	Irrecoverable
	358,765.02	Total

## DASS CLIENT CONTRIBUTIONS – FURTHER DETAILS

Case No	Further Details
1	Client deceased – no estate. Client owned property in the Republic of Ireland but it is believed to be in negative equity with approximately £116,000 mortgage still owing according to solicitors.
2	No prospect of recovery – client does not have capacity and DASS now appointee. Unable to ascertain if there are any funds available to client to repay this debt (unlikely as client previously financially abused). Client is paying charge going forward.
3	Debt was originally £25,000 and £5,000 was recovered as this was all that remained in the bank. Client deceased, no estate therefore nobody to pursue for outstanding debt.
4	Weightmans Solicitors have advised that this debt should be written off since there is no value in proceeding given that there is no prospect of recovering the debt. Client's son advised that he was spending his mother's income. WBC is now the client's appointee. Client has no income other than benefits and only receives weekly Personal Allowance. Son's status has been checked and he is on benefits and rents his current home.
5	Weightmans Solicitors advise no prospect of recovery as client does not have capacity. Any court action would be likely to involve the official solicitor at significant cost. In any event client cannot be ordered to repay the debt out of his Personal Allowance and relative assisting him has no responsibility to pay.
6	Client victim of historic financial abuse - son drawing funds out of her account. Daughter now managing affairs and current residential home contributions are being paid up to date.
7	The final account was issued after death and client was only receiving passported benefits and had no capital/savings according to SWIFT. No-one to pursue for debt.
8	Client deceased, passported benefits no property, no estate. Nobody to pursue for debt.
9	The executor of the estate has been made bankrupt so cannot be pursued for debt.
10	Client deceased 14 August 2007. Issued final account and no successful recovery action followed. Client had capital at time of original assessment, it is unlikely that this remains available to family 6 years later, and client was in receipt of welfare benefits, no property. Most of the debt is already statute barred.
11	Client now in residential home so has no spare funds. WBC is now DWP appointee but that does not allow us to access bank accounts. There is therefore no prospect of recovery.

12	Client deceased. Probate search reveals no estate or person to pursue for repayment of debt.
13	Client deceased, no estate, nobody to pursue for outstanding debt.
14	Debt was recorded as secured on property but no charge was ever placed. Property was sold in 2003 so even if the debt was not statute barred there would be no prospect of recovery.
15	Weightmans Solicitors have advised that in their view this is an irrecoverable debt (no prospect of recovery). Client has been CHC funded since 2010 and there have been no responses to Weightmans' letters regarding repayment of the debt.
16	No estate, no probate granted therefore nobody to pursue for outstanding debt.
17	Debt Statute Barred. Client deceased – no funds available.
18	Client was in receipt of passported benefits, no capital, no property, no estate and debt over 6 years old.
19	Client deceased. No monies in estate.
20	Client has gone away and his current whereabouts are unknown. Through historic correspondence it is clear that the client had no capital and wasn't given invoices by the representative to whom they were sent.
21	This case is a compromise agreement - £15,000 has been paid off, leaving balance to be written off. Agreed by DASS Head of Business Management & Interim Director of Resources.
22	Client now in residential home so has no spare funds. WBC is now DWP appointee but that does not allow us to access bank accounts. There is therefore no prospect of recovery.
23	Income and expenditure exercise conducted, no funds to pay. Ongoing charge is being paid.

## Appendix 2

### Miscellaneous Adult Social Services write offs of debts over £5,000

Case No	Debt Outstanding £	Write Off reason
1	250,000.00	Irrecoverable
2	164,221.89	Irrecoverable
3	106,816.62	Irrecoverable
4	23,049.74	Irrecoverable
5	19,496.01	Irrecoverable
6	15,100.00	Irrecoverable
7	14,630.00	Irrecoverable
8	13,573.27	Irrecoverable
9	12,656.13	Irrecoverable
10	11,595.49	Irrecoverable
11	10,255.67	Irrecoverable
12	10,041.84	Irrecoverable
13	10,005.12	Irrecoverable
14	9,989.92	Irrecoverable
15	7,329.50	Irrecoverable
16	7,196.14	Irrecoverable
17	6,652.28	Irrecoverable
18	6,588.36	Irrecoverable
19	6,290.59	Irrecoverable

705,488.57      Total



## MISCELLANEOUS DASS ACCOUNTS – FURTHER DETAILS

Case No	Further Details
1	This invoice was raised on 17 June 2011. It is for an NHS contribution to S117 provision for people aged over 65. This invoice has been disputed by Health for some time. There was no formal agreement governing this transfer in 2011/12. New procedures are now in place in Adults from 2012/13 to ensure NHS funding transfers are clearly set out in signed agreements providing clear proof of debt in the event of any dispute. The 2012/13 S256 agreement with the NHS (the main annual funding agreement for NHS transfers) does not provide for a similar transfer, and cannot be relied on to support a 2011/12 transfer. It would be difficult to provide categorical proof of debt.
2	This debt of £164,221.89 relates to a charge which is disputed by the provider. The charge depends on the technical interpretation of a contract for the provision that was inherited from the NHS. Officers involved in discussions with the provider on this matter have left the authority and there is at most there is limited possibility of recovery by legal action. In future any such debt should be pursued promptly to avoid similar losses occurring.
3	This invoice was originally raised in July 2011 in the sum of £304,872. The invoice was to the NHS for Continuing Health Care (CHC) packages commissioned and paid by Adults on behalf of the NHS. Continuing Health Care packages are an NHS responsibility. 65% of the invoice has been paid, but the remaining 35% has been in dispute for some time. It is not considered feasible to recover this invoice given the quality of the supporting information about the packages in question. From mid -2013/14 Adults has transferred the responsibility for all CHC payments to Wirral CCG. Wirral CCG now pays providers directly, eliminating the risk of non-recovery by Adults. Adults are also introducing the LiquidLogic case management system jointly with Children and Young People to improve the quality of information about packages and avoid similar exposures in other areas.
4	This account (£23,049.74) was raised in 2007 to recover overpaid care home fees in 2007/8. Under the Limitation Act 1980 this account is irrecoverable as it is now over 6 years from the cause of action. The recovery of accounts is now monitored carefully by Adults; this loss arises from the historical arrangements that are now superseded.
5	This invoice (£19,496.01) was raised in 2008 to recover alleged overcharging by a domiciliary care provider. The invoice has always been disputed. The records supporting the recovery are not sufficiently robust to support legal action. Adults are now introducing the LiquidLogic case management system jointly with Children and Young People to improve the quality of information about packages and avoid similar exposures in other areas.
6	This invoice was originally raised in February 2011 in the sum of £518,370. The invoice was for the NHS contribution to a community care service level agreement in 2010/11. 97% of the invoice has been paid, but the remaining 3% has been in dispute for some time. It is not considered economic to seek to recover the disputed balance. There was no formal agreement governing this transfer in 2010/11, and it would be difficult to provide categorical proof of debt. New procedures are now in place in Adults from 2012/13 to ensure

	NHS funding transfers are clearly set out in signed agreements providing clear proof of debt in the event of any dispute.
7	This invoice was originally raised in February 2011 in the sum of £168,318. The invoice was for the NHS contribution to the Mental Health Crisis Team in 2010/11. 91% of the invoice has been paid, but the remaining 9% has been in dispute for some time. It is not considered economic to seek to recover the disputed balance. There was no formal agreement governing this transfer in 2010/11, and it would be difficult to provide categorical proof of debt. New procedures are now in place in Adults from 2012/13 to ensure NHS funding transfers are clearly set out in signed agreements providing clear proof of debt in the event of any dispute.
8	This invoice (£13,573.27) was raised in 2007 for a contribution towards the cost of a support worker attending dialysis with a client in 2004. Under the Limitation Act 1980 this account is irrecoverable as it is now over 6 years from the cause of action. The recovery of accounts is now monitored carefully by Adults; this loss arises from the historical arrangements that are now superseded.
9	This invoice relates to joint funding arrangements with the NHS for services or packages. The debt relates to pre 2013/14 provision. Generally 5% or less of the original debt is outstanding. The balance is disputed and it would be uneconomic to recover it. There is no robust proof of debt. System changes mean that this situation should not arise from 1 April 2013 onwards.
10	This account (£11,595.49) was raised in 2007 to recover package costs in 2007/8 that were stated to be the responsibility of Lancashire County Council. Under the Limitation Act 1980 this account is irrecoverable as it is now over 6 years from the cause of action. The recovery of accounts is now monitored carefully by Adults; this loss arises from the historical arrangements that are now superseded.
11	This invoice was originally raised in February 2010 in the sum of £163,725. The invoice was for the NHS contribution to the Mental Health Crisis Team in 2009/10. 94% of the invoice has been paid, but the remaining 6% has been in dispute for some time. It is not considered economic to seek to recover the disputed balance. There was no formal agreement governing this transfer in 2009/10, and it would be difficult to provide categorical proof of debt. New procedures are now in place in Adults from 2012/13 to ensure NHS funding transfers are clearly set out in signed agreements providing clear proof of debt in the event of any dispute.
12	This invoice relates to joint funding arrangements with the NHS for services or packages. The debt relates to pre 2013/14 provision. Generally 5% or less of the original debt is outstanding. The balance is disputed and it would be uneconomic to recover it. There is no robust proof of debt. System changes mean that this situation should not arise from 1 April 2013 onwards.
13	This invoice relates to joint funding arrangements with the NHS for services or packages. The debt relates to pre 2013/14 provision. Generally 5% or less of the original debt is outstanding. The balance is disputed and it would be uneconomic to recover it. There is no robust proof of debt. System changes mean that this situation should not arise from 1 April 2013 onwards.

14	This invoice relates to joint funding arrangements with the NHS for services or packages. The debt relates to pre 2013/14 provision. Generally 5% or less of the original debt is outstanding. The balance is disputed and it would be uneconomic to recover it. There is no robust proof of debt. System changes mean that this situation should not arise from 1 April 2013 onwards.
15	This account was raised in 2007 in the sum of £9,737 to recover 50% of a joint funded care package provided in 2007/8. 25% of the invoice was paid, and the rest has been in dispute. Under the Limitation Act 1980 this account is irrecoverable as it is now over 6 years from the cause of action. The recovery of accounts is now monitored carefully by Adults; this loss arises from the historical arrangements that are now superseded.
16	This account (£7,196.14) was raised in 2007 to recover overpaid care home fees in 2007/08. Under the Limitation Act 1980 this account is irrecoverable as it is now over 6 years from the cause of action. The recovery of accounts is now monitored carefully by Adults; this loss arises from the historical arrangements that are now superseded.
17	This account (£6,652.28) was raised in 2007 to recover overpaid care home fees in 2007/08. Under the Limitation Act 1980 this account is irrecoverable as it is now over 6 years from the cause of action. The recovery of accounts is now monitored carefully by Adults; this loss arises from the historical arrangements that are now superseded.
18	This invoice relates to joint funding arrangements with the NHS for services or packages. The debt relates to pre 2013/14 provision. Generally 5% or less of the original debt is outstanding. The balance is disputed and it would be uneconomic to recover it. There is no robust proof of debt. System changes mean that this situation should not arise from 1 April 2013 onwards.
19	This invoice relates to joint funding arrangements with the NHS for services or packages. The debt relates to pre 2013/14 provision. Generally 5% or less of the original debt is outstanding. The balance is disputed and it would be uneconomic to recover it. There is no robust proof of debt. System changes mean that this situation should not arise from 1 April 2013 onwards.

## APPENDIX 3

### HOUSING BENEFITS OVERPAYMENT WRITE OFFS OVER £1,000

Case No	Debt outstanding £	Further details
1	11,382.32	Period of overpayment - 1/8/01 to 28/3/04. The claimant was found to have no rental liability. We have attempted to recover but were unable to trace.
2	1,537.78	Period of overpayment - 11/7/05 to 21/4/08. Claimant deceased. No estate.
3	1,341.50	Period of overpayment - 6/3/00 to 7/10/03. Claimant started work so no longer entitled. Attempts to recover have failed
4	16,953.99	Period of overpayment - 31/8/98 to 23/10/05. Overpayment raised due to a contrived tenancy. Unable to contact debtor. Legal advised to write off.
5	15,974.06	Period of overpayment - 15/3/99 to 9/10/05. Overpayment raised due to a contrived tenancy. Unable to contact debtor. Legal advised to write off.
6	1,188.44	Period of overpayment - 4/3/13 to 22/4/13. Claimant is aged 92 years and moved to a nursing home following a stay in hospital.
7	1,900.29	Period of overpayment - 26/11/12 to 20/5/13. Overpayment due to non dependant moving in and claimant deceased.
8	10,185.19	Period of overpayment - 25/08/08 to 28/11/10. Claimant started work and has since been declared bankrupt.
9	3,904.53	Period of overpayment - raised prior to 2006 – statute barred. Claimant had a change in circumstances. Attempts at recovery have been unsuccessful.
10	2,372.04	Period of overpayment - raised prior to 2006 – statute barred. Claimant had a change in circumstances. Attempts at recovery have been unsuccessful.
11	2,010.32	Period of overpayment - raised prior to 2006 – statute barred. Claimant deceased. No estate.
12	1,042.20	Period of overpayment - raised prior to 2006. £658.45 of original debt recovered - statute barred.
13	2,883.75	Period of overpayment - 15/1/04 to 27/3/05. Traced to Republic of Ireland in 2005 but no trace since. Statute barred.
14	5,695.38	Period of overpayment - 16/9/12 to 9/5/13. Claimant sectioned.
15	1,508.05	Period of overpayment - 25/7/05 to 1/1/06. Claimant started work.
16	2,070.20	Period of overpayment - raised prior to 2006 - statute barred. Claimant's circumstances changed.
17	1,320.00	Period of overpayment - 22/5/00 to 5/11/00. Claimant's circumstances changed.
18	3,980.14	Period of overpayment - 31/5/99 to 12/2/01. Claimant deceased. No estate.

19	1,100.00	Period of overpayment - 29/1/07 to 18/6/07. Statute barred.
20	4,498.20	Period of overpayment - raised prior to 2006 – Statute barred.
21	1,193.43	Period of overpayment - 2/6/03 to 26/10/03. Overpayment due to J.S.A. cease. Statute barred.
22	1,035.60	Period of overpayment - 25/10/04 to 13/3/05. Claimant's circumstances changed. Statute barred.
23	3,238.89	Period of overpayment - 22/1/07 to 28/4/08. Statute barred.
24	5,124.70	Period of overpayment - 14/8/00 to 6/4/03. Overpayment due to changes in income – attempts to recover unsuccessful – statute barred.
25	1,144.65	Period of overpayment - 5/4/04 to 24/10/04. Overpayment due to changes in income – attempts to recover unsuccessful – statute barred.
26	1,394.73	Period of overpayment - raised prior to 2006 – Statute barred.
27	1,050.00	Period of overpayment - 8/5/06 to 30/7/06. Overpayment due to income support ending – attempts to recover unsuccessful – statute barred.
28	2,191.62	Period of overpayment - 31/8/08 to 28/11/11. Overpayment due to changes in income – claimant bankrupt.
29	1,610.00	Period of overpayment - 30/6/03 to 7/12/03. Overpayment due to changes in income – attempts to recover unsuccessful – statute barred.
30	1,181.40	Period of overpayment - 12/4/04 to 17/7/05. Last payment made in 2007. Returned by debt collectors - – Statute barred.
31	2,026.77	Period of overpayment - 2/6/03 to 4/1/04. Last payment made in 2004. Returned by debt collectors - – Statute barred.
32	2,080.00	Period of overpayment - 18/8/03 to 15/8/04. Claimant vacated property. – Statute barred.
33	6,008.40	Period of overpayment - 8/6/98 to 23/1/00. Claimant deceased and no monies in estate. Statute barred.
34	1,309.66	Period of overpayment - 1/4/02 to 1/9/02. Claimant deceased and no monies in estate. Statute barred.
35	3,000.13	Period of overpayment - 27/11/00 to 7/11/04. Overpayment due to changes in income – attempts to recover unsuccessful – statute barred.
36	8,042.44	Period of overpayment - 10/1/00 to 9/2/03. Fraudulent overpayment. £1,005 of original debt recovered. Claimant since deceased –statute barred.
37	1,559.07	Period of overpayment - 28/5/01 to 7/5/06. Claimant deceased and no monies in estate. Statute barred.
38	1,050.00	Period of overpayment - 29/1/07 to 22/4/07. Claimant vacated property. – Statute barred.
39	3,203.33	Period of overpayment - 8/4/13 to 11/11/13. Claimant vacated

		property to long term care. Failed to notify but has dementia and no N.O.K. Unreasonable to pursue recovery.
40	1,722.47	Period of overpayment - 6/9/99 to 22/7/01. Overpayment due to changes in income – attempts to recover unsuccessful – statute barred.
41	1,098.00	Period of overpayment - 21/7/03 to 18/1/04. Overpayment due to their being no rental liability. Attempts to recover unsuccessful – returned by debt collectors – statute barred.
42	1,055.93	Period of overpayment - 23/9/96 to 26/5/02. Overpayment due to changes in income – attempts to recover unsuccessful – statute barred.
43	1,557.20	Period of overpayment - 3/4/00 to 14/1/01. Overpayment due to changes in income – attempts to recover unsuccessful – statute barred.
44	1,200.00	Period of overpayment - 7/3/05 to 19/6/05. Overpayment due to changes in income. Attempts to recover unsuccessful –returned by debt collectors – statute barred.

146,926.70      Total

## APPENDIX 4

### GENERAL SUNDRY DEBTOR WRITE OFFS OVER £5,000

Case No	Debt outstanding £	Further details
1	6,323.01	Department of Children and Young Persons – Invoice dated 15/07/2008, amounting to £6,323.01, in respect of childcare fees for the period June 2007 – June 2008. The debt has been through the full Court procedure and no further legal action can be taken, resulting in no prospect of recovery. Write off reason – Irrecoverable.
2	5,067.96	Department of Finance - Invoice dated 29/11/2006, amounting to £5,067.96, in respect of an overpayment of salary, due to late notification from department of leaving. The debt has been through the full Court procedure and no further legal action can be taken, resulting in no prospect of recovery. Write off reason – Irrecoverable.
3	5,525.98	Department of Finance – Invoice dated 8/02/2013 amounting to £5,525.98, in respect of pension payments for January 2013. The company went into liquidation/bankruptcy. A claim has been made in respect of the debt owed to the Council with the liquidator as an unsecured Creditor. There is little prospect of the claim being settled. The Head of Legal Services recommended the Invoice be written off. Write off reason –Liquidation/Bankruptcy.
4	7,655.00	Department for Technical Services - Invoice dated 16/11/2012 amounting to £7,655.00. The company went into liquidation/bankruptcy. A claim has been made in respect of the debt owed to the Council with the liquidator as an unsecured Creditor. There is little prospect of the claim being settled. The Head of Legal Services recommended the Invoice be written off. Write off reason –Liquidation/ Bankruptcy.
5	6,063.36	Department of Human Resources and OD - Invoice dated 04/01/2013, amounting to £6,063.36 in respect of a salary overpayment. Client raised objection and on review grievance upheld. Write off reason – Department advice- Irrecoverable.
6	8,275.00	Department of Corporate Asset & Facilities Management - Invoice dated 26/01/1989, amounting to £8,275.00. This invoice was raised by the Corporate Services Department. The invoice is for costs to demolish the building and carry out remedial work as per schedule of work and to erect boarding. Default action under BLG ACT 1984 SECTION 79. Write off reason – Statute Barred.
7	6,078.00	Department of Regeneration & Environment - Invoice dated 29/05/1986, amounting to £6,078.00. This invoice was raised by the Corporate Services Department. The invoice is registered as a Land Charge, as per Section 27 of the Public Health Act 1961, in relation to remedial work at Grove Road, Rock Ferry. Write off reason – Statute Barred.

8	5,845.00	Department of Regeneration & Environment - Invoice dated 17/09/1990, amounting to £5,845.00. This invoice was raised by the Corporate Services Department, in relation to the demolition of Price Street, Birkenhead. Write off reason – Statute Barred.
9	5,767.41	Department of Regeneration & Environment – Invoice dated 01/11/1984, amounting to £5,767.41. This invoice was raised by the Corporate Services Department, in relation to making safe a dangerous structure under section 58 of the Public Health Act 1936. Total cost of repair £40,371.86, 1/7 <sup>th</sup> = £5,767.41. Write off reason – Statute Barred. (This Invoice was subsequently paid in full and the write off reversed)
10	5,767.41	Department of Regeneration & Environment - Invoice dated 01/11/1984. This invoice was raised by the Corporate Services Department and has an outstanding balance of £5,767.41, in relation to the cost of making safe a dangerous structure as per section 58 of the Public Health Act 1936. The total cost of repair = £40,371.86, 1/7 <sup>th</sup> = £5,767.41. Write off reason – Statute Barred.
11	5,767.41	Department of Regeneration & Environment - Invoice dated 01/11/1984, amounting to £5,767.41. This invoice was raised by the Corporate Services Department, in relation to the cost of making safe a dangerous structure as per section 58 of the Public Health Act 1936. The total cost of repair = £40,371.86, 1/7 <sup>th</sup> = £5,767.41 Write off reason – Statute Barred.
12	5,767.41	Department of Regeneration & Environment - Invoice dated 01/11/1984, amounting to £5,767.41. This invoice was raised by the Corporate Services Department, in relation to the cost of making safe a dangerous structure as per section 58 of the Public Health Act 1936. The total cost of repair = £40,371.86, 1/7 <sup>th</sup> = £5,767.41 Write off reason – Statute Barred.
13	5,583.40	Department of Regeneration & Environment - Invoice dated 07/03/1991, amounting to £5,583.40. This invoice was raised by the Corporate Services Department to carry out default works. No other information held on invoice. Write off reason – Statute Barred.
14	9,076.74	Department of Regeneration & Environment - Invoice dated 21/05/1997, amounting to £9,076.74. This invoice was raised by the Technical Services Department, in relation to Rock Park, Rock Ferry. To slate, batten and felt the roof and brick up the window to the top floor. This debt is registered as a Land Charge. Interest is due to be charged on this debt at 7.25% from the due date of the invoice, upon sale of the property the write off can be reversed. Write off reason – Statute Barred.
15	8,700.00	Department of Regeneration & Environment - Invoice dated 30/07/1999, amounting to £8,700.00. This invoice was raised by the Technical Services Department in relation to the removal of rubbish at Rock Park Tranmere. Write off reason – Statute Barred.



16	7,392.00	Department of Regeneration & Environment - Invoice dated 12/03/1997, amounting to £7,392.00. This invoice was raised by the Technical Services Department, in relation to the maintenance of security at Rock Park, Rock Ferry for the period 04/12/1996 to 03/03/1997. This debt is registered as a Land Charge. Interest is due to be charged on this debt at 7.25% from the due date of the invoice to sale of property. Upon sale of the property the write off can be reversed. Write off reason – Statute Barred.
17	7,305.30	Department of Regeneration & Environment - Invoice dated 20/03/1997, amounting to £7,305.30. This invoice was raised by the Technical Services Department, in relation to the bricking up of windows, supply and fixing joists to two floors, taking down and rebuilding new 4'B Lock internal walls at Rock Park, Rock Ferry. This debt is registered as a Land Charge. Interest is due to be charged on this debt at 7.25% from the due date of the invoice to sale of property. Upon sale of the property the write off can be reversed. Write off reason – Statute Barred.
18	7,266.75	Department of Regeneration & Environment - Invoice dated 27/02/1997, amounting to £7,266.75. This invoice was raised by the Technical Services Department and relates to Rock Park, Rock Ferry following a fire to clear debris and reduce weight on upper floors. This debt is registered as a Land Charge. Interest is due to be charged on this debt at 7.25% from the due date of the invoice to sale of property. Upon sale of the property the write off can be reversed. Write off reason – Statute Barred.
19	6,121.09	Department of Regeneration & Environment - Invoice dated 21/05/1997, amounting to £6,121.09. This invoice was raised by the Technical Services Department, in relation to work to complete roof structure, gable fit, supply of guttering and slates and make up circular dormer window at Rock Park, Rock Ferry. This debt is registered as a Land Charge. Interest is due to be charged on this debt at 7.25% from the due date of the invoice to sale of property. Upon sale of the property the write off can be reversed. Write off reason – Statute Barred.

125,348.23 Total

## GENERAL SUNDRY DEBTOR WRITE OFFS OVER £10,000

Case No	Debt outstanding £	Further details
1	18,368.30	Department for Technical Services - Invoice dated 15/01/2009 amounting to £18,368.30, to Utility Company, in respect of flooding over the weekend of the 6 / 7 September 2008. The Department have been unable to provide sufficient evidence to support / prove this claim. Legal Department state no alternative but to recommend debt be written off. Write off reason – Insufficient Proof - Irrecoverable.
2	12,000.00	Department of Children and Young People - Invoice dated 20/09/2006, amounting to £12,000.00. This invoice was raised by FIS Schools. The invoice relates to part of inter agency fees for two children, with a North West Metropolitan Borough Council. Write off reason – Statute Barred.
3	13,060.00	Department of Corporate Asset / Facilities Management - Invoice dated 15/06/1988, amounting to £13,060.00. This invoice was registered as a Land Charge and relates to work to demolish building and carry out reinstatement work at Clifton Road, Birkenhead, Wirral. Write off reason – Statute Barred.
4	15,005.14	Department of Regeneration & Environment - Invoice dated 17/04/1997, amounting to £15,005.14. This invoice was raised by Technical Services Department and registered as a Land Charge and relates to the property at Rock Park, Rock Ferry to supply and fix steel beams, supply slates and construct a new timber roof carcass. Interest is due to be charged on this debt at 7.25% from the due date of the invoice, upon sale of the property the write off can be reversed. Write off reason – Statute Barred.
5	11,566.00	Department of Regeneration & Environment - Invoice dated 20/03/1997, amounting to £11,566.00. This invoice was raised by - Technical Services Department and registered as a Land Charge and relates to the erection of scaffolding at Rock Park, Rock Ferry, Wirral. Write off reason – Statute Barred.
6	1,600,000.00	Department of Environment and Regulation - The invoices are in relation to one major utility provider. The invoices had all been subject to an Arbitration process and remained on legal hold, pending the outcome. Company claimed the Council had acted outside of the New Roads and Street Works Act 1991 with regard to charges for defect inspections, while the Local Authority maintained we had charged and invoiced in accordance with National Code of Practice. The outcome of Arbitration was the contractor ordered to pay a total of £229,962 in settlement of the charges. As the authority agreed to abide by the outcome of the arbitration no alternative is available. Write off reason – Irrecoverable after Arbitration decision

£1,669,999.44 Total

## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT</b>	<b>CORPORATE RISK MANAGEMENT POLICY</b>
<b>WARD/S AFFECTED</b>	<b>ALL</b>
<b>REPORT OF</b>	<b>STRATEGIC DIRECTOR OF TRANSFORMATION &amp; RESOURCES</b>
<b>KEY DECISION</b>	<b>YES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER</b>	<b>NO</b>

#### 1.0 EXECUTIVE SUMMARY

1.1 This report confirms the rationale behind the development of a revised Corporate Risk Management Policy. It describes the process followed to develop the Policy and identifies further actions needed for implementation. The Policy was approved by Audit & Risk Management Committee on 28 January. In accordance with Cabinet's ultimate responsibility for corporate governance Members are invited to consider and formally adopt the Policy on behalf of the Council.

#### 2.0 BACKGROUND

##### INTRODUCTION

2.1 The Council, like all organisations, has to deliver its objectives in the face of a complex and increasingly dynamic environment. The uncertainty created by that environment presents it with both opportunities and threats. So having a robust and effective framework for addressing risk and uncertainty is vital to the authority's success.

2.2 Although the Council has a defined approach to risk it is recognised that this is no longer suitable given developments in good practice and the scale and pace of change facing the organisation. This was underlined in the 2012 Improvement Board review and in last year's Internal Audit report on the Risk Management Framework.

2.3 A key element of the Council's vision for 2016 is that the organisation will be 'risk aware, not risk averse'. This objective makes the need for a revised and more effective approach to handling risk even more important.

2.4 The purpose of a risk management policy is to set out an organisation's overall attitude to risk and uncertainty, to confirm its commitment to managing risk, to provide a high level view of the risk management process itself and to set out corporate requirements around how risk is to be handled. It is a key element of any organisation's overall risk management framework.

## **PROCESS**

- 2.5 There is a British and International Standard for risk management BS ISO 31000:2009. It suggests that an effective risk management policy might contain as a minimum:
- details of how risk management is governed
  - the scope of the risk management policy
  - to whom and to what the policy applies
  - a high level view of the risk management process itself
  - the organisation's risk appetite, thresholds and escalation procedure
  - the purpose, frequency and scope of risk reporting
  - roles, accountabilities and responsibilities
  - variations and dispensations
- 2.6 To ensure that any revised policy would conform to best practice the format and content of the draft document has been based on the above guidance. The areas for improvement highlighted by the Peer Review and the Internal Audit report have also been taken into account.
- 2.7 Whilst it is a fundamental principle of risk management that it should be tailored to the needs of each individual organisation and its level of maturity there is merit in examining the approaches taken by others. So in constructing the revised policy the Risk and Insurance team also reviewed the risk management policy documents of a number of local authorities considered to be exemplars of risk management practice and spoke with some of their risk managers. The output from these investigations has directly informed the draft document.
- 2.8 Consultation with the Chief Executive Strategy Group clarified the overall objectives of the policy and the level of capability which the Council should be seeking to achieve.
- 2.9 Early drafts of the document were shared with key teams across the organisation (Internal Audit, Strategic Change Programme Office, Human Resources and Organisational Development, Commissioning Performance and Business Intelligence) to sense check the proposals and ensure the factual accuracy of the document.
- 2.10 To make the document easier to understand and follow it is divided into a number of simply headed sections (for example 'How Risk Management is Governed'). The document has been drafted in plain English and any technical terms explained in a glossary.
- 2.11 The draft Policy was presented to Audit & Risk Management Committee on 28 January. Members approved the Policy subject to the inclusion of some minor changes which have been incorporated into the current version of the document.

## **NEXT STEPS**

- 2.12 If adopted by Cabinet the Policy would be signed by both the Leader of the Council and the Chief Executive in order to demonstrate commitment from the top of the organisation.
- 2.13 The Policy would be disseminated through presentations to Directorate Management teams and publication on the re-launched Council Intranet.
- 2.14. An early priority will be the task of defining the Council's appetite and tolerance for risk. A mechanism proposed to assist with this will require the active involvement of representatives from the Council's political and executive leadership. Cabinet is asked to nominate two participants for this exercise.
- 2.15 The new reporting arrangements outlined in the policy would be rolled out during the course of 2014/15.
- 2.16 Bringing about the risk aware culture sought by the leadership and ensuring that Members and officers are not only aware of the Policy but are equipped with the knowledge and skills to adhere to it will require the development and delivery of a programme of training and guidance. Involvement of the Organisational Development Team would be key to the delivery of this element. Work would begin early in 2014/15.
- 2.17 The Policy confirms that it will be reviewed annually. The review process will draw upon an Internal Audit assessment of the Council's risk management maturity as well as wider developments in good risk management practice.
- 2.18 The new Policy is an important component of the Council's risk management framework but it is not an end in itself. Other actions will need to be implemented to bring the vision outlined in the policy into effect. These are indicated on pages 30 and 31 of the document. Progress in relation to the delivery of these actions will be the subject of regular updates to Audit & Risk Management Committee.

### **3.0 RELEVANT RISKS**

- 3.1 Implementation of the policy could be frustrated by the limited capacity within the Risk & Insurance team. Part of the response to this risk would be greater involvement from officers in other teams (for example Commissioning and Intelligence, Internal Audit and Organisational Development) in the delivery of key components of the policy.
- 3.2 If the management of risk is not considered as a standard part of the planning and delivery of services and programmes it would limit the benefits envisaged in the Policy. Commitment from the Council's political and executive leadership will help to avoid this. Compliance with the policy will be verified through regular audits. In the longer term the cultural change needed would be achieved at least in part through training for officers and Members.

3.3 The incorporation of risk management practice into all areas of Council business will inevitably place some additional demand on the capacity of officers and Members. The impact should be limited by incorporating risk management into existing Council processes wherever possible. However the Policy only seeks to bring the Council into line with what is existing practice in well run organisations.

#### **4.0 OTHER OPTIONS CONSIDERED**

4.1 As the Council is seeking improvements to risk management in line with British and International Standards and other authorities the retention of the existing risk management policy was not appropriate.

#### **5.0 CONSULTATION**

5.1 A range of consultation has been undertaken in drafting the revised policy as indicated in paragraphs 2.7 – 2.9.

#### **6.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

6.1 Whilst there are no direct implications arising from this report implementation of the Policy should lead to better management of the risks presented by working with others.

#### **7.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING AND ASSETS**

7.1 As indicated in paragraph 3.3 implementation of the Policy will place some additional demands on officers and Members.

#### **8.0 LEGAL IMPLICATIONS**

8.1 Adoption of the Policy will support compliance with Regulation 4(2) of the Accounts and Audit (England) Regulations 2011.

#### **9.0 EQUALITIES IMPLICATIONS**

9.1 There are no implications arising directly from this report.

#### **10.0 CARBON REDUCTION IMPLICATIONS**

10.1 There are no implications arising directly from this report.

#### **11.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

11.1 There are no implications arising directly from this report.

#### **12.0 RECOMMENDATIONS**

12.1 That the draft Risk Management Policy be formal adopted.

12.2 That two Cabinet members participate in the proposed risk appetite exercise.

### **13.0 REASON FOR RECOMMENDATIONS**

13.1 The adoption of a revised Risk Management Policy is a key element of the Council's improved approach to managing risk.

13.2 Expressing the Council's appetite for risk will support the corporate aim of becoming risk aware not risk averse and will help ensure consistency in how decisions around risk are taken.

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### **APPENDIX**

Draft Corporate Risk Management Policy

### **SUBJECT HISTORY**

<b>Council Meeting</b>	<b>Date</b>
Audit & Risk Management – Corporate Risk Management Policy	28 January 2014
Audit & Risk Management - Risk Management Strategy and the Management of Risk and Opportunity	29 November 2011
Cabinet - Risk Management Strategy and the Management of Risk and Opportunity	13 October 2011
Audit & Risk Management – Risk Management Strategy	17 January 2011
Cabinet - Risk Management Strategy	25 November 2010

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DRAFT – v0.5

## **RISK MANAGEMENT POLICY**

**Performing, Improving**



<b>Current Document Status</b>					
Version	0.5	Approving Body	Audit & Risk Management Committee		
Date	January 2014	Date of formal approval	28 January 2014		
Responsible officer(s)	Mike Lane	Review date	December 2014		
Document Location					
<b>Version History</b>					
Date	Version	Author/Editor	Comments		
July 2013	0.1	Mike Lane	First draft for consultation		
August 2013	0.2	Mike Lane	Updated following input from CESG		
October 2013	0.3	Mike Lane	Updated following input from Internal Audit, Change Team, Performance Management and Organisational Development		
December 2013	0.4	Mike Lane	Updated following input from Strategic Director (Transformation & Resources)		
January 2014	0.5	Mike Lane	Updated following input from Audit & Risk Management Committee		
<b>Equality Impact Assessment Record</b>					
Date	Type of assessment conducted	Stage/level (where applicable)	Summary of actions taken/decisions made	Completed by	Impact Assessment review date
15/01/2014	Initial		None	Mike Lane (Risk & Insurance Officer)	31/12/2014
<b>Corporate Quality Assessment Record</b>					
Date	Insert date				
Completed by	Insert name(s)				
<b>Document Retention</b>					

Document retention period

Five years in hard and electronic copies

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## Policy Statement

We accept that uncertainty and risk are inevitable features of the environment in which the Council seeks to deliver its ambitious vision for Wirral. We believe that how successful we are at dealing with the risks we face can significantly impact on the achievement of our priorities and the trust placed in us by the community and we will work to manage these risks down to an acceptable level.

However, we appreciate that uncertainty also presents opportunities and that we must innovate if the Council is to meet the challenges that it faces. We believe that risk management should not stifle innovation, but rather should support the taking of risks, provided that they are understood, actively managed and justified.

We also recognise that the increasing pace and complexity of the environment in which the Council operates could create combinations of events that cannot reasonably be envisaged. So we will also act to improve agility and organisational resilience.

Our goal is to become a risk aware organisation, in which risk management is fully embedded in all aspects of the Council's business.

We plan to achieve this goal by:

- Establishing clear roles, responsibilities and reporting lines within the Council for risk management;
- Encouraging maturity and candour in discussions between officers and members about the uncertainties associated with our objectives
- Incorporating risk management into the Council's decision making and operational management processes;
- Reinforcing the importance of effective management of risk through training and provision of opportunities for shared learning;
- Incorporating risk management considerations into Service and Business Planning, Commissioning, Shared Services, Project Management, Partnerships, Service Delivery Vehicles & Procurement Processes;
- Monitoring our risk management arrangements on a regular basis;

LEADER OF THE COUNCIL  
EXECUTIVE

CHIEF

Cllr Phil Davies  
Burgess

Graham

# Risk Management Policy

## Background

In its Corporate Plan, the Council has set out an ambitious vision for the borough in the years ahead.

*“Wirral should be a place where the vulnerable are safe and protected, where employers want to invest and local businesses thrive, and where good health and an excellent quality of life is within the reach of everyone who lives here”.*

Everything we do is focused on achieving this vision and ensuring that we deliver the best possible outcomes for the community, whilst ensuring that we provide good value for our stakeholders.

Effective governance arrangements are essential to help us achieve that vision and risk management is a key element of those arrangements. How successful we are at dealing with the risks that we face has a major impact on our ability to deliver our Corporate Plan.

We recognise that our plans and objectives have to be delivered within a complex and increasingly dynamic environment. The interplay of social, political, economic and technological change creates uncertainty which poses threats to the delivery of the Council's vision, but also presents us with opportunities. Effective risk management will help ensure that we are resilient and able to withstand any threats that emerge and exploit opportunities for improvement.

## Drivers for Change and Improvement

The 2012 Peer Review highlighted that ***‘risk assessment and risk management are currently under-developed at Wirral’***. As a management discipline, its development may have been hindered in the past by some of the cultural and leadership issues that the authority has recognised and which it is now addressing. Our existing approach would have been considered reasonable years ago. But good practice has moved on significantly and our arrangements have not kept pace.

In a local authority context, good risk management is largely concerned with helping Members and officers to make better strategic and tactical choices. The scale of the decisions which need to be taken in the coming years, about the very nature of our organisation, its role and how it relates to the community, make it more critical than ever for the Council to have a robust approach to addressing risk and uncertainty.

This corporate policy will ensure that there is clarity on what we are trying to achieve with, and through, risk management and an agreed corporate process by which risk management is carried out.

In developing this policy we have drawn on the guidance contained in the current British Standard for risk management, as well as best practice in other local authorities and in central government.

## Why we need a risk management policy

It is important that we have a clear policy so that -

- Everyone has a good understanding of what we mean by risk and risk management
- Everyone has a common understanding about the purpose, structure and approach to risk management
- Everyone is clear about their responsibilities in relation to risk management
- There is a consistent methodology to identify and assess the key risks and opportunities associated with our aims and objectives
- There is clarity around the arrangements for reporting information on risks
- Risk management is embedded into all our business processes.

## What are the aims of our policy?

- To embed risk management into the culture of the Council.
- To integrate risk management with other management practices to ensure that risks are managed effectively at strategic and operational level and for all key programmes / projects and partnerships.
- To identify and effectively manage the key risks facing the Council.
- To maximise the opportunities for the achievement of objectives and minimise the risk of service failure.
- To ensure that we learn from risk failures to improve risk management awareness, systems and processes.
- To support Members and officers in carrying out their responsibilities.
- To support the decision making process at all levels within the Council.
- To ensure that effective risk management arrangements are in place to support the Annual Governance Statement and Corporate Governance arrangements.
- To support compliance with the requirements of the Account & Audit Regulations 2011.

## What are the principles that underpin our policy?

- **Risk management should be systematic and structured:** The approach should be consistently applied within the Council. To help ensure that outputs are both reliable and comparable and to give managers increased confidence to make effective decisions.
- **Risk management should be based on the best available information:** The inputs should be based on available information sources such as experience, subject knowledge, expert judgement and projected



forecasts. Managers should be aware of any limitations to the data or divergence of opinion among specialists.

- **Risk management should explicitly address uncertainty:** It should be used to help clarify the nature of uncertainty affecting decisions and how it might be treated.
- **Risk management should be part of decision making:** To help Members and Managers choose the option that is most appropriate for the Council in terms of its risk appetite and ability to manage risks effectively.
- **Risk management should take into account organisational culture, human factors and behaviour:** It should recognise the capabilities, perceptions and intentions of external and internal people that might hinder attainment of Council objectives.
- **Risk management should create and protect value:** It should contribute to the demonstrable achievement of objectives and maximize overall business and commercial benefits. It should support corporate governance, be integrated with management processes, provide assurance to stakeholders and reflect legislative and compliance requirements.
- **Risk management should be tailored:** It should be proportionate and scaled to address the internal and external circumstances.
- **Risk management should be transparent and inclusive:** Management and stakeholders should be actively involved so that risk management remains relevant and up to date.
- **Risk management should be dynamic, iterative and responsive to change:** It should continually identify and respond to changes effecting the operating environment by having an open, positive culture that encourages managers to disclose, discuss and respond to risk.

## What benefits can we expect to see?

**Improved business planning:** through the use of risk-based decision making processes for establishing priorities and objectives

**Enhanced corporate performance:** by identifying and addressing threats to achievement there is an increased likelihood of achieving corporate objectives. More informed decision-making, added value across service areas

and improved service delivery that matches organisational priorities, an increased number of targets achieved and improved internal controls

**Improved financial performance:** improved forecasting and support for a balanced approach to the setting of balances and reserves, more effective allocation and use of resources for risk treatment, providing value for money, assets safeguarded, reduced level of fraud and increased capacity through a reduction in decisions that need reviewing or revising

**A more balanced approach to risk:** as well as understanding and tackling the most significant threats to the Council's objectives, there would be a greater awareness of the opportunities which are available and an increased willingness and ability to exploit them fully

**Better outcomes for the community:** as risk management focuses us to consider potential impacts if the risk were to occur for the council and the wider Borough. So, if risks are successfully managed, this could lead to improved customer relations and increased public satisfaction, confidence and trust

**Improved corporate governance and compliance:** greater adherence to legal and regulatory requirements, fewer regulatory visits, reduction in legal challenges and an improved corporate governance statement

**Improved insurance management:** reduction in the number and costs of claims and uninsured losses, leading to a reduction in insurance premiums.

**Improved organisational resilience:** fewer disasters and surprises and an enhanced ability to recover quickly from those that might occur

**More effective partnership arrangements:** maximising the benefits from our relationships with public, private and voluntary sector partners

## **How Risk Management is Governed**

Ultimate responsibility for the effective management of risk rests with Cabinet and the Leader of the Council as part of their wider responsibilities for effective corporate governance.

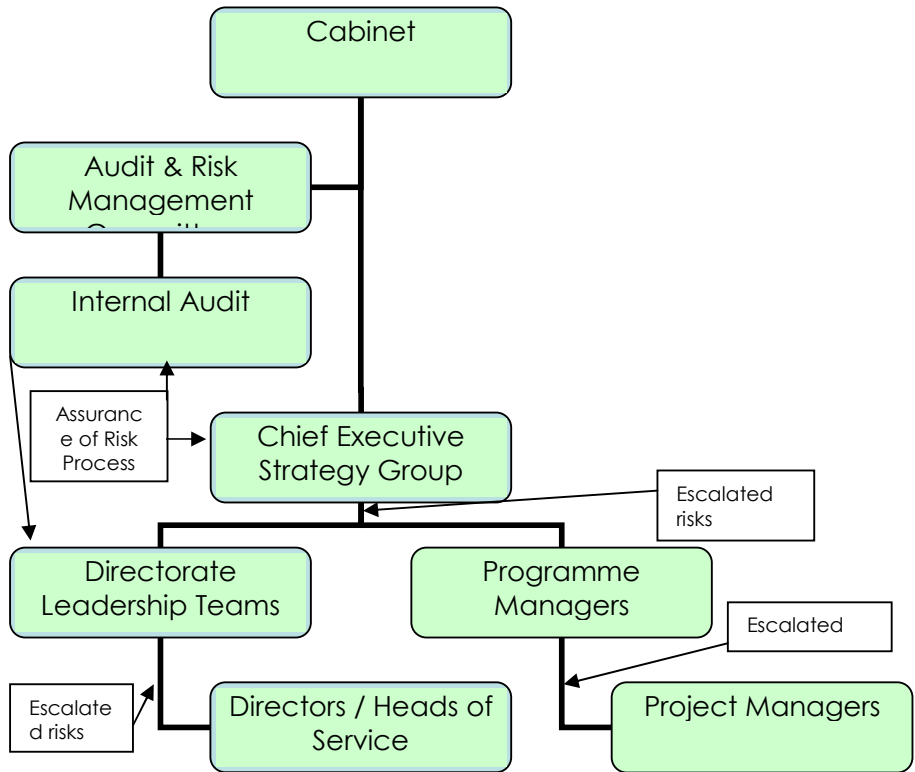
The Risk Management Strategy and Policy are approved by the Chief Executive Strategy Group and by Audit & Risk Management Committee and are adopted by Cabinet on behalf of the Council. They are subject to review on an annual basis and will be communicated to all those with a responsibility for managing risk.

The Council's Annual Governance Statement is informed by a review of the governance framework undertaken by Internal Audit, which includes a review of the effectiveness of the risk management framework. The Chief Executive and Leader of the Council endorse the statement and this is presented to the Audit and Risk Management Committee for approval. Strategic Directors comment on their risk management arrangements within the Assurance Statements required as part of the Annual Governance Statement Review.

Internal Audit undertakes an annual assessment of the Council's risk management maturity using a CIPFA framework. The audit programme is directly informed by the Council's key risks

Individual officers are responsible for managing the risks associated with their service or project objectives, but will escalate specific risks in accordance with the risk escalation criteria.

Cabinet maintains an overview of the Council's risk profile.



## **Application of the Policy**

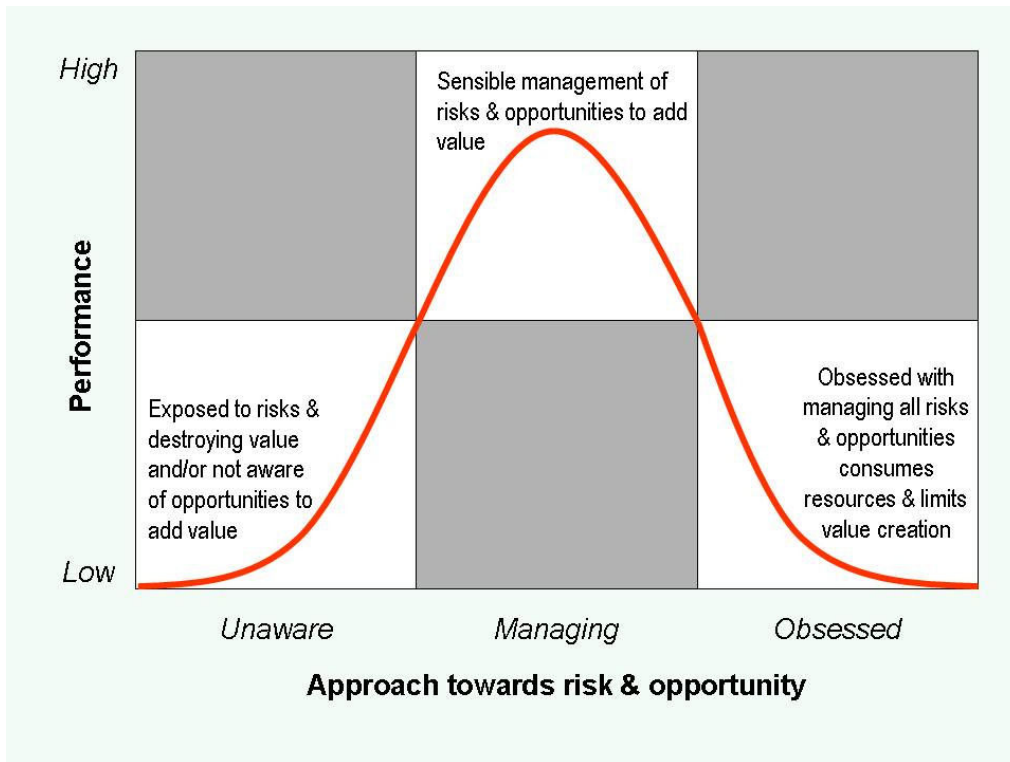
This policy applies to Council Members and to Officers at all levels.

The management of risk applies to all of the Council's business processes and should inform all areas of activity, including, but not limited to:

- Setting strategic objectives → Corporate Plan
- Setting business objectives → Directorate and Service plans
- Budget setting process → investment and savings decisions, establishing levels of balances, evaluating bids for capital funding
- Developing policies and strategies
- Programme and project planning and management
- Establishing and managing partnerships and joint working arrangements
- Workforce planning
- Procurement exercises

## **The Risk Management Process**

The risk management process is intended to ensure that the key risks to achieving our objectives are identified and managed. Too little awareness and management of these key issues can adversely affect our performance. But an obsessive level of management of all possible risk could divert too many of our limited resources away from providing services. Between these two extremes is a turning point, a balanced area of high performance through the sensible management of risk. This is the status the Council aims to achieve through implementation of its Risk Management Policy.



## **Communication and Consultation**

The risk management process cannot exist without an appropriate level of communication between all internal and external stakeholders. This will require consultation with all those who have an interest in the risks to our objectives, at whatever level we are assessing. This may include the public, partners, project boards, sponsors, management teams and other specialists, whose assistance may be beneficial when identifying and evaluating risks. Communication and consultation should occur at all stages of the risk management process.

## **Establishing the Context**

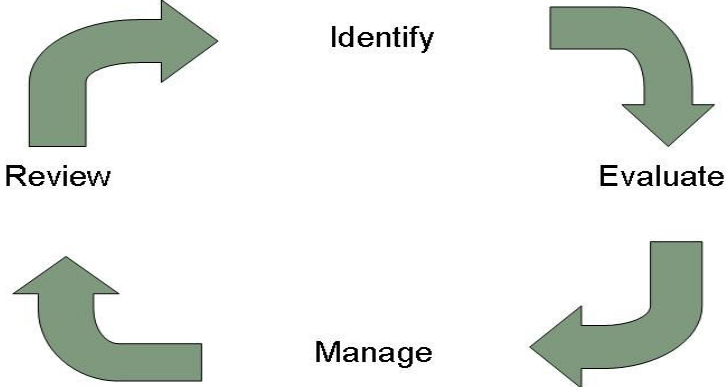
Establishing the context defines the basic parameters for managing risk and sets the scope and criteria for the rest of the process. This first stage is an essential precursor to core process. It should involve consideration of:

- The external and internal operating environment
- What we are looking at, strategic or service objectives, project or partnership objectives, budgets or policies, procurement or commissioning, options for decisions.
- Who will be involved, be they internal or external stakeholders. They should all be considered as they may have an interest in or a valuable contribution to add to the rest of the process
- Who will be responsible for the process: define responsibilities for review, monitoring and reporting
- The risk criteria and appetite, whether it is political, economic, legal, environmental, etc. The impact criteria to be included and how they will be measured
- If looking at partnership risk, which partner's processes will be adopted

## **The Core Risk Management Process**

The Council has a four-stage process for managing risks, shown in the graphic below.

# The Risk Management Process





This process provides Officers and Members with an improved understanding of the risks that could affect the achievement of their objectives and the adequacy and effectiveness of existing controls. It also provides the basis for decisions about the most appropriate approach to be used to tackle risks.

The process will be applied to all key business processes, including:

- Setting strategic and service objectives and priorities
- Creating business cases for programmes and projects
- Managing partnerships and shared service delivery
- Procuring and/or commissioning goods or services
- Setting of short and medium term budgets
- Establishing or refreshing policies and strategies

The core process should be dynamic and applied continuously.

### **Stage 1: Identification**

The Council defines a risk as:

“An uncertainty that could have adverse or beneficial effects on the achievement of objectives”

This initial stage of the process sets out to identify the exposure to these uncertainties. Risks will be identified in relation to the objectives for the service, project, partnership or activity. So it is important that those objectives are clear and meaningful.

Risk identification should be a continuous process. However, there are times when formal identification exercises should be undertaken. The table below indicates when they should be carried out, why they are necessary and who should undertake this task.

Activity	When	By Whom
Corporate Plan	A strategic risk analysis will be undertaken as part of a strategic options appraisal, to inform decisions about priorities and objectives	Chief Executive Strategy Group
Directorate Plan	After directorate objectives have been set, the key threats to their delivery and corporate / directorate plan indicators will be identified.	Directorate Management Team
Service Plans	After service area objectives have been set,	Head of Service

	to establish the key threats to their delivery	
Establishment of programmes and projects	During the development of business cases the risks of the project and to delivery of the project will be identified, to inform the decision as to whether to proceed.	Programme or project sponsor
Development of partnerships and shared services	Prior to establishment, to inform the decision as to whether to proceed	Officer(s) responsible for development
Alternative service delivery mechanisms	During the development of business cases, to inform the decision as to whether to proceed	Officer(s) responsible for development
Procurement or commissioning exercises	During the development of business cases, to inform the decision as to whether to proceed	Officer(s) responsible for the exercise
Development/updating of policy or strategy	During the drafting of the document, to give decision-makers an understanding of the threats to its delivery	Officer responsible for producing the document
Resource allocation	During the development of options for investment or reducing resources, to inform decisions around which to select	Officer responsible for developing the options
Producing Committee reports on key decisions	Prior to drafting of the report, to give Members an understanding of the risks and benefits associated with different options.	Report author

A variety of tools are available to complete the identification stage of the process, including brainstorming workshops, one-to-one interviews and reviewing lessons learnt logs. Reference to standard risk categories can also be helpful and a list of these is shown in **Appendix B**.

Each risk identified will be allocated to a risk owner who is accountable for its management. In respect of Corporate risks, the risk owner will be a member of the Chief Executive Strategy Group.

## **Stage 2: Evaluation**

In order for us to make informed decisions about how best to use our limited resources to tackle risks, we need to understand their relative significance. This will be done by evaluating risks in relation to their likelihood and their impact.

The significance of all risks will be evaluated using the 5 by 5 likelihood and impact matrix adopted by the Council. Evaluation of project delivery risks may use different impact factors to those for used for risks to programmes and corporate, directorate and service plans.

Wherever possible, evaluation will be undertaken by a range of stakeholders with an interest in the service, project, partnership or other initiative and a consensus reached. This will help to avoid the assessment being skewed by the views any one individual.

### Step 1 – Current Risk

Once the risk has been identified and defined, the current (also called residual) risk score will be calculated. This score is a measure of the risk as it is today, taking account of what is currently in place to manage (i.e. mitigate) it. Understanding what controls are already in place and their effectiveness is a vital part of the evaluation and these will be considered before judgements are made on impact and likelihood.

The potential impact of a risk will be judged in relation to its consequences (effects) and the current controls, action or management arrangements in place. The likelihood of a risk occurring will be judged by considering the risk description and the current controls, action and management arrangements that are in place.

The results of the evaluation of impact and likelihood will be recorded in the risk register.

### Step 2 - Unmanaged Risk

Once the current risk score has been calculated, the risk will be re-evaluated to consider the position that there are no controls, actions or management arrangements in place. This is done to establish the unmanaged (sometimes called inherent) risk rating. The difference between the Unmanaged and the Current risk scores helps to demonstrate the value of the controls, but should prompt consideration of whether all of the controls are required. It may be possible to identify risks which are over-controlled and where resources presently used for control could be freed up.

### **Stage 3: Management**

Under the management stage, responses (controls) are selected for risks and plans are developed to implement those controls.

The broad nature of the possible responses to a given risk is shown in the following table:

Risk Management Response Strategies
<p><b>Mitigate</b> – Reducing the scale of the risk in order to make it more acceptable, by reducing the likelihood and/or impact.</p> <p><b>Accept</b> – Recognizing that some risks must be taken and responding either actively by developing appropriate contingency arrangements or passively doing nothing except for monitoring the status of the risk.</p> <p><b>Transfer</b> – Identifying another stakeholder better able to manage the risk, to which the responsibility can be passed.</p> <p><b>Avoid</b> – Eliminate the uncertainty by making it impossible for the risk to occur (e.g. discontinue activity), or by executing a different approach to eliminate the risk.</p>

### Resource and Cost / Benefit Analysis

The responses to the risks identified need to be appropriate, achievable and affordable. There will be some occasions when the cost of the response will outweigh the benefits to be gained from the proposed course of action. So an assessment of the cost / benefit of implementing the response will be carried out as part of the management stage. The resourcing of risk controls should be considered as part of service and financial planning.

Any control selected for implementation will be made the responsibility of a given individual (the control 'owner'). The owner and the planned implementation (target) date will be recorded in the relevant risk register.

### Target Risk

When the management response and implementation plans have been determined the risk will then be re-evaluated to determine the Target Risk

Rating. This evaluation will take into account all of the controls (existing and additional) that were identified earlier in the management stage. This provides a target of the future rating that will be achieved when all the controls (both existing and planned) have been implemented. This information will also be recorded in the risk register.

For any risk whose current score places it into the 'red' category on the Council's likelihood and impact matrix, the risk owner will produce an action plan designed to achieve the target level of risk. This will be forwarded to the Directorate risk champion and used in the review process. A template action plan is shown at **Appendix C**.

**Stage 4: Review**

The environment which the Council operates in is dynamic and the management of risk needs to be also. To support the performance management process service, project and other risk registers will be kept up to date.

The reviews of risk registers will involve;

- Identifying potential new risks and the controls already in place to help mitigate them. Considering whether additional controls are needed.
- Reviewing the effectiveness of the existing controls for risks already on the register.
- Reviewing control actions that were scheduled to be carried out and considering whether any additional actions should be implemented.
- Re-evaluating the likelihood and impact scores for existing risks by reference to effectiveness of the existing controls and progress in implementing additional controls.
- Reviewing contingency arrangements in response to changing internal and/or external events
- Considering whether any risks on the register no longer present a threat and should be removed
- Considering whether any risks on the register should be escalated (or de-escalated) in accordance with the criteria shown below.

**Responsibilities for Review**

The following table highlights how the Council's review process will operate

What	By Whom	When
Corporate Risk Register	Chief Executive Strategy Group	Quarterly
Directorate and Service Risk Registers	Directorate and Service Management Teams	Monthly

Programme Risk Registers	Programme Board	As indicated in the relevant governance arrangements. But no less than once a month.
Project Risk Registers	Project Management Team	As indicated in the relevant governance arrangements. But no less than once a month.
Partnership Risk Registers	Partnership Managers	As indicated in the relevant governance arrangements. But no less than once a quarter.

In undertaking reviews, those responsible will take account of the results of internal and external audit reports.

Following each review, the relevant risk register will be updated. A copy of each updated Directorate risk register will be provided to the Risk & Insurance Officer.

In addition to the continuous review process outlined above, Directorate and service risk registers will be reviewed annually as part of the corporate planning process.

### **How We Will Record Risks**

Information on risks will be recorded in risk registers. The different levels of risk register that we will maintain are shown below -

#### **Corporate risk register**

This register is the responsibility of the Chief Executive Strategy Group and will be maintained by the Risk & Insurance team.

#### **Directorate risk register**

These registers are the responsibility of each Directorate management team and will be maintained by the directorate risk champion.

In preparing and maintaining the register the management team will scrutinise and challenge information provided by heads of service. Through the annual Assurance Statement, the relevant Strategic Director will confirm that the register reflects the most significant threats to the achievement of the directorate's objectives.

#### **Service**

These registers are the responsibility of the respective Head of Service.

#### **Programme**

These registers are the responsibility of the relevant Programme Board

#### **Project**

These registers are the responsibility of the Project Sponsor and will be maintained by the project manager

### **Partnership**

These registers are the responsibility of the partnership manager / lead.

To help ensure that risk information is captured in a consistent format, a standard risk register template will be used. A copy of the template is shown at **Appendix D**.

Programme and project risk registers will be maintained in the Council's 'Concerto' system.

### **How We Will Determine Whether Risks Are Acceptable**

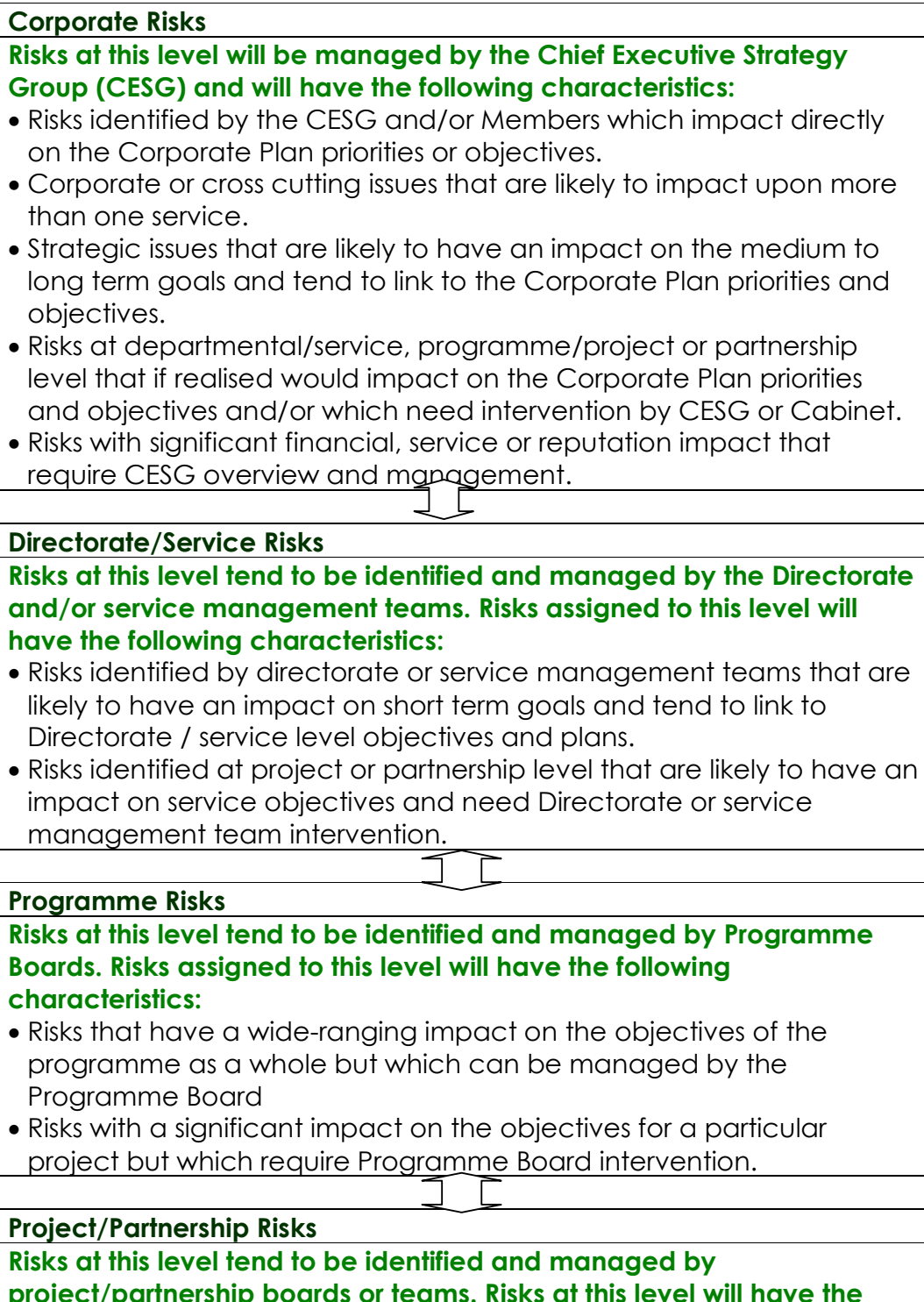
It is vital that we have a consistent approach to evaluating the significance of risks and that those responsible for managing them understand the boundaries of acceptability and the thresholds for escalation and for reporting to senior managers and to Members.

Two factors will be used to judge the significance of a risk – its likelihood and its impact.

We will develop a set of risk criteria, informed by the leadership's views of the Council's critical success factors and will use these to determine at what scales of impact and likelihood risks need to be escalated and / or reported. Those scales will be included in a risk matrix.

## Escalation of Risks

Critical to the effective management of risks is the reporting of information to the appropriate level of management. To ensure that risks are considered at the appropriate level, the following criteria have been established:





**following characteristics:**

- Risks that impact on individual project/partnership objectives but which can be managed by the project / partnership board, manager or team
- Risks that impact on departmental objectives and targets but can be managed by the project / partnership board, manager or team

The escalation of risks to the Corporate Risk Register is considered by the Chief Executive Strategy Group in its quarterly review of Risk, Audit, Governance and Performance. The Group will review the issue against the escalation criteria and take appropriate action. This may include:

- Escalating the risk and adding it to the Corporate Risk Register for monitoring and reporting to Members.
- Incorporating the risk into an existing entry on the Corporate Risk Register if the risk is related to it, for ongoing management and review.
- De-escalating the risk to Directorate/Service or Project/Partnership level for ongoing management and review.

## How Risks will be reported

It is important that we are clear about what information on risks and opportunities is to be reported, the format for this and to whom and when it should be reported. The following table summarises our reporting arrangements:

Stakeholder(s)	What information do they need?	How will this be provided?	When will this be provided?
<b>The community</b>	<ul style="list-style-type: none"> <li>An understanding of the strategic risks facing the Council and how it is seeking to address them.</li> </ul>	Inclusion of the Corporate Risk Register in the Corporate Plan	Annually (in line with the business planning process)
<b>Cabinet</b>	<ul style="list-style-type: none"> <li>A detailed, current knowledge of the principal risks and opportunities facing the Council, the principal controls and their effectiveness</li> </ul>	<p>Inclusion of key risks in the Corporate Performance Report.</p> <p>Updates on management of the Corporate risks</p> <p>Inclusion of a risk assessment in the Medium Term Financial Strategy</p>	<p>Quarterly (in line with the Performance Management Framework)</p> <p>Four times a year (following each review of Risk, Audit Governance and Performance)</p> <p>Annually</p>
	<ul style="list-style-type: none"> <li>A working knowledge of the corporate risk management framework and its effectiveness</li> </ul>	<p>Publication of the Corporate Risk Management Policy document.</p> <p>Publication of the Annual Governance Statement</p>	<p>Annually (prior to the start of the business planning process)</p> <p>Annually (in September)</p>

<b>Audit &amp; Risk Management Committee</b>	<ul style="list-style-type: none"> <li>A detailed, current knowledge of the principal risks and opportunities facing the Council, the principal controls and their effectiveness</li> </ul>	<p>Inclusion of the Corporate Risk Register in the Corporate Plan</p> <p>Updates on management of the Corporate risks</p>	<p>Annually (in line with the business planning process)</p> <p>Four times a year (following each review of Risk, Audit Governance and Performance)</p>
	<ul style="list-style-type: none"> <li>A detailed knowledge of the corporate risk management framework and its effectiveness</li> </ul>	<p>Publication of the Corporate Risk Management Policy document</p> <p>Regular updates of progress towards implementation of the risk management action plan</p> <p>An assessment of the Council's risk management maturity from Internal Audit</p>	<p>Annually</p> <p>Each meeting of the committee</p> <p>Annually</p>
	<ul style="list-style-type: none"> <li>An understanding of individual service areas compliance with the corporate risk management policy</li> </ul>	<p>Publication of the Annual Governance Statement</p> <p>Publication of Internal Audit reports on individual service areas</p>	<p>Annually</p> <p>As determined by the Internal Audit programme</p>
<b>Policy &amp; Performance committees</b>	<ul style="list-style-type: none"> <li>A good, current knowledge of the principal risks associated with the service areas for which they are responsible for providing scrutiny, the principal controls and their</li> </ul>	<p>Publication of Directorate Plans</p> <p>Confirmation of significant movements in the risk register within the Performance Report</p>	<p>Annually (in line with the planning process)</p> <p>Quarterly (in line with the Performance Management Framework)</p>

	effectiveness		
<b>Portfolio Holder (Governance &amp; Improvement)</b>	<ul style="list-style-type: none"> <li>A detailed knowledge of the corporate risk management framework and its effectiveness</li> </ul>	<p>Publication of the Corporate Risk Management Policy document</p> <p>Updates of progress towards implementation of the Risk Management Strategy</p> <p>Publication of the Annual Governance Statement</p>	<p>Annually (prior to the start of the business planning process)</p> <p>Each meeting of Audit &amp; Risk Management Committee</p> <p>Annually (in September)</p>
	<ul style="list-style-type: none"> <li>An understanding of individual service areas compliance with the corporate risk management policy</li> </ul>	<p>Publication of Internal Audit reports on individual service areas</p>	<p>As determined by the Internal Audit Plan</p>
<b>Chief Executive Strategy Group</b>	<ul style="list-style-type: none"> <li>A detailed, current knowledge of the principal risks facing the Council the principal controls and their effectiveness</li> </ul>	<p>Updates on progress in managing existing Corporate risks (from the review of Risk, Audit, Governance and Performance)</p>	<p>At the end of each quarter</p>
	<ul style="list-style-type: none"> <li>An understanding of significant emerging risks</li> </ul>	<p>A summary of significant new risks (from the review of Risk, Audit Governance and Performance)</p>	<p>At the end of each quarter</p>
	<ul style="list-style-type: none"> <li>A good knowledge of the corporate risk management framework and its effectiveness</li> </ul>	<p>Publication of the Annual Governance Statement</p> <p>An assessment of the Council's risk management maturity from Internal Audit</p>	<p>Annually (in September)</p> <p>Annually (in September)</p>
<b>Strategic</b>	<ul style="list-style-type: none"> <li>A detailed, current</li> </ul>	<p>Summaries of risks</p>	<p>Monthly</p>

<b>Directors</b>	<p>knowledge of the principal risks and opportunities associated with the service areas for which they are responsible, the principal controls and their effectiveness</p> <ul style="list-style-type: none"> <li>• An understanding of significant emerging risks and opportunities</li> <li>• A good understanding of their directorate's adherence to the corporate risk management policy</li> </ul>	<p>from Directors / Heads of Service / Project Managers</p> <p>Publication of Internal Audit reports on individual service areas</p>	<p>As determined by the Internal Audit Plan</p>
<b>Directors</b>	<ul style="list-style-type: none"> <li>• A detailed, current knowledge of the principal risks and opportunities associated with the service areas for which they are responsible, the principal controls and their effectiveness</li> <li>• An understanding of significant emerging risks and opportunities</li> <li>• A good understanding of their directorate's adherence to the corporate risk management policy</li> </ul>	<p>Summaries of risks and opportunities from Heads of Service and Project Managers, where relevant</p> <p>Publication of Internal Audit reports on individual service areas</p>	<p>Monthly</p> <p>As determined by the Internal Audit Plan</p>
<b>Programme Boards</b>	<ul style="list-style-type: none"> <li>• A good understanding of the principal risks and opportunities presented by the programme</li> </ul>	<p>An assessment of risks and benefits</p>	<p>As part of developing the business case for the programme</p>

	<ul style="list-style-type: none"> <li>• A detailed, current knowledge of the principal risks to and benefits of delivery of the programme</li> </ul>	Presentation of the programme risk register	As determined by the Programme governance arrangements, but not less than once every 3 months
	<ul style="list-style-type: none"> <li>• A good understanding of the risk management arrangements</li> </ul>	Inclusion of risk management arrangements in the Outline Business Case	As part of the business case.
<b>Partnership boards</b>	<ul style="list-style-type: none"> <li>• A good understanding of the principal risks and opportunities presented by the partnership</li> </ul>	An assessment of risks and benefits as part of the business case for establishing the partnership	As part of developing the business case for the partnership
	<ul style="list-style-type: none"> <li>• A detailed, current knowledge of the principal risks to delivery of the partnership's objectives</li> </ul>	Presentation of the partnership risk register	As determined by the Programme governance arrangements, but not less than once every 3 months
	<ul style="list-style-type: none"> <li>• A good understanding of the risk management arrangements</li> </ul>	Inclusion of risk management arrangements in the Outline Business Case	As part of the business case.

## Roles and Responsibilities

The Council is a large and complex organisation. So it is important that we are clear about what should be done and who it should be done by. The table below details the roles and responsibilities in relation to risk management for all stakeholders.

We will communicate these through the distribution of this policy, the provision of training and the issue of guidance.

Stakeholder	Role and Responsibilities
<b>Council Leader and Cabinet Members</b>	<p><b>Role: To oversee the effective management of risk as part of good corporate governance.</b></p> <p><b>Responsibilities</b></p> <ul style="list-style-type: none"> <li>• Adopt the Council's risk management Policy and ensure that risk management is delivered on behalf of the Cabinet by the Chief Executive and the Chief Executive Strategy Group.</li> <li>• Drive the effective management of risk and a positive risk culture from the top of the organisation</li> <li>• Ensure that a corporate risk register is established and that this is regularly monitored.</li> <li>• Consider risk management implications when taking decisions.</li> </ul>
<b>Portfolio Holder – Governance and Improvement</b>	<p><b>Role: To lead and co-ordinate the work of Portfolios and Departments in improving the Council's corporate governance</b></p> <p><b>Responsibilities</b></p> <ul style="list-style-type: none"> <li>• Oversee the development, implementation and review of the Council's risk management arrangements</li> </ul>
<b>Audit &amp; Risk Management Committee</b>	<p><b>Role: To provide independent assurance of the Council's risk management framework and associated control environment.</b></p> <p><b>Responsibilities</b></p> <ul style="list-style-type: none"> <li>• Consider the risk management policy, strategy and associated action plan</li> <li>• Monitor, review and scrutinise the effectiveness of the Council's risk management framework and its implementation.</li> <li>• Consider the effectiveness of risk management arrangements and any improvements required as indicated in the Annual Governance Statement</li> <li>• Consider the adequacy of the authority's insurance and risk financing arrangements</li> <li>• Receive and challenge quarterly reports on the Corporate Risk Register from the Chief Executive Strategy Group</li> <li>• Approve the Internal Audit Plan</li> <li>• Receive and consider Internal Audit reports on risk management</li> <li>• Receive assurances that action is being taken to mitigate</li> </ul>

	key risks identified by internal and external auditors
<b>Policy and Performance Committees</b>	<b>Role: To oversee the effective management of risk in those areas of service for which they provide scrutiny.</b>
	<b>Responsibilities</b> <ul style="list-style-type: none"> <li>• Receive and challenge reports on risk management, including relevant risk registers</li> <li>• Gain an understanding of the key risks affecting the service areas for which they provide scrutiny and ensuring that sufficient action is being taken to control them.</li> <li>• Consider risk management implications when making recommendations to Cabinet</li> </ul>
<b>Chief Executive and CESG</b>	<b>Role: To ensure that the Council manages risk effectively.</b>
	<b>Responsibilities</b> <ul style="list-style-type: none"> <li>• Agree the risk management framework and the arrangements for the management of strategic/corporate risks</li> <li>• Lead and co-ordinate the delivery of the risk management framework, including the nomination of a CESG lead on risk management.</li> <li>• Define the Council's risk appetite and risk criteria.</li> <li>• Identify, monitor and take ownership of strategic / corporate risks</li> <li>• Establish a culture and working practices which promote openness and learning in relation to the management of risk</li> <li>• Review the effectiveness of the risk management framework and make arrangements to address any improvements needed</li> <li>• Advise Members on effective risk management and ensuring that members receive regular monitoring reports.</li> </ul>
<b>Strategic Directors</b>	<b>Role: To manage risk within their directorate in line with the Council's risk management policy.</b>



	<p><b>Responsibilities</b></p> <ul style="list-style-type: none"> <li>• Take full ownership of all risks within their Directorate and responsibility for completing Directorate and Service risk registers and the allocation of resources to control/minimise risk.</li> <li>• Scrutinise and sign off the risk register for their respective directorate.</li> <li>• Review key risks for the directorate and the effectiveness of their associated controls on a regular basis</li> <li>• Report significant risks to the Risk &amp; Insurance Officer to be considered by the Chief Executive Strategy Group for possible escalation to the Corporate Risk Register</li> <li>• Provide regular reports on significant directorate risks to the relevant Policy &amp; Performance Committee.</li> <li>• Take responsibility for the production, testing and maintenance of Business Continuity plans and allocation of resources.</li> <li>• Appoint a Risk Champion as part of the governance arrangements for the Directorate and authorise him/her to progress effective risk management that adheres to the corporate policy, across their Directorate.</li> <li>• Ensure that a culture of risk awareness is embedded across their Directorate.</li> </ul>
<p><b>Directors and Heads of Service</b></p>	<p><b>Role: To manage risk within their area of responsibility in line with the Council's risk management policy.</b></p> <p><b>Responsibilities</b></p> <ul style="list-style-type: none"> <li>• Ensure that risks to the objectives for their areas of responsibility are identified and evaluated and that action on them is prioritised and initiated.</li> <li>• Approve the risk registers for those services for which they are responsible ensure that they are reviewed regularly.</li> <li>• Report significant risks to the Directorate management team in line with the Council's risk escalation criteria.</li> <li>• Report systematically and promptly to the Directorate Management Team any major failures in existing controls.</li> <li>• Ensure that a culture of risk awareness is embedded across their respective service areas</li> </ul>
<p><b>Risk &amp; Insurance Officer / team</b></p>	<p><b>Role: To support the effective management of risk throughout the Council.</b></p> <p><b>Responsibilities</b></p> <ul style="list-style-type: none"> <li>• Design and drive the implementation of the Council's risk framework, policy, strategy and process.</li> <li>• Provide the Council with consultancy and advice on risk management.</li> <li>• Lead, co-ordinate and develop risk management activity across the Council with the support of the Risk Champions.</li> <li>• Ensure that officers and Members are adequately trained in risk management tools and techniques.</li> <li>• Facilitate risk identification and evaluation workshops.</li> </ul>

	<ul style="list-style-type: none"> <li>• Assist management teams to identify evaluate and record key risks to service, project and partnership objectives.</li> <li>• Provide quality assurance and challenge of risk information provided by directorates and services.</li> <li>• Ensure that the corporate risk register is regularly reviewed by the Chief Executive Strategy Group.</li> <li>• Collate and manage the Council's Corporate Risk Register.</li> <li>• Undertake an annual review and update of the Risk Management Policy and Strategy for consideration by the Chief Executive Strategy Group and Audit &amp; Risk Management Committee.</li> <li>• Ensure that the Council's approach to risk management fits within the Council's overall policy, strategy and performance ethos.</li> </ul>
<b>Risk Champions</b>	<b>Role: To provide a focus for and co-ordinate risk management activity throughout the Directorate.</b>
	<b>Responsibilities</b> <ul style="list-style-type: none"> <li>• Provide support on risk management across the directorate.</li> <li>• Encourage staff within their directorates to embed risk management principles into their daily work</li> <li>• Identify their directorate's training needs in relation to risk management and reporting these to the Risk &amp; Insurance team</li> <li>• Co-ordinate information on risks and opportunities</li> <li>• Maintain the directorate risk register</li> <li>• Share examples of good risk control practice and lessons learned</li> </ul>
<b>Managers</b>	<b>Role: To effectively manage risk in their service area in line with the Council's risk management policy.</b>
	<b>Responsibilities</b> <ul style="list-style-type: none"> <li>• Ensure that risks to the objectives for their service are identified, evaluated and addressed.</li> <li>• Produce and regularly review a register of those risks, including the implementation of control measures.</li> <li>• Guide their staff in risk assessing their priorities at the beginning of the year and ensuring they identify risks that may affect their ability to deliver their objectives.</li> <li>• Communicating the corporate approach to risk management to staff.</li> <li>• Support the Risk Champion with identifying the training needs of staff.</li> <li>• Ensure that they and their staff are aware of the corporate requirements and seek clarification from the Risk Champion, when required.</li> </ul>
<b>Programme and Project</b>	<b>Role: To oversee the effective management of risk within programmes and projects.</b>

<b>Boards</b>	<p><b>Responsibilities</b></p> <ul style="list-style-type: none"> <li>• Set and confirm the programme/project's risk appetite</li> <li>• Understand the key risks to delivery of the programme/project objectives and ensure that sufficient action is being taken to manage them</li> <li>• Make decisions as regards risk response options proposed by project managers</li> <li>• Maintain a close watch over the continued viability of the programme or project's business case.</li> <li>• Propose the escalation of risks to the corporate level in line with the Council's risk escalation criteria.</li> </ul>
<b>Project Managers</b>	<p><b>Role: To effectively manage risks to the project in line with the Council's risk management policy.</b></p> <p><b>Responsibilities</b></p> <ul style="list-style-type: none"> <li>• Identify and evaluate risks of and to any proposed project as part of the development of the business case.</li> <li>• Ensure that key risks to project objectives are identified, evaluated and managed</li> <li>• Undertake regular reviews of the project risk register throughout the lifecycle of the project.</li> <li>• Report key risks and potential responses to the Project Board on a regular basis</li> <li>• Identify and propose the escalation of risks to the programme level in line with the Council's risk escalation criteria.</li> </ul>
<b>Internal Audit</b>	<p><b>Role: To provide independent and objective assurance in relation to the Council's risk management arrangements.</b></p> <p><b>Responsibilities</b></p> <ul style="list-style-type: none"> <li>• Conduct reviews into the effectiveness of the risk management framework and its application.</li> <li>• Undertake an annual evaluation of the Council's risk management maturity.</li> <li>• Produce a risk based audit plan that takes into account key strategic, operational and project risks across the Council</li> <li>• Ensure robust risk management techniques in their audit work.</li> </ul>
<b>Employees</b>	<p><b>Role: To contribute to the effective management of risk.</b></p> <p><b>Responsibilities</b></p> <ul style="list-style-type: none"> <li>• Contribute to the identification and evaluation of key risks for their service area.</li> <li>• Contribute to risk control measures, where appropriate.</li> <li>• Report promptly to management potential new risks or failures in existing control measures.</li> <li>• Supporting continuous service delivery and any response to business disruption.</li> </ul>

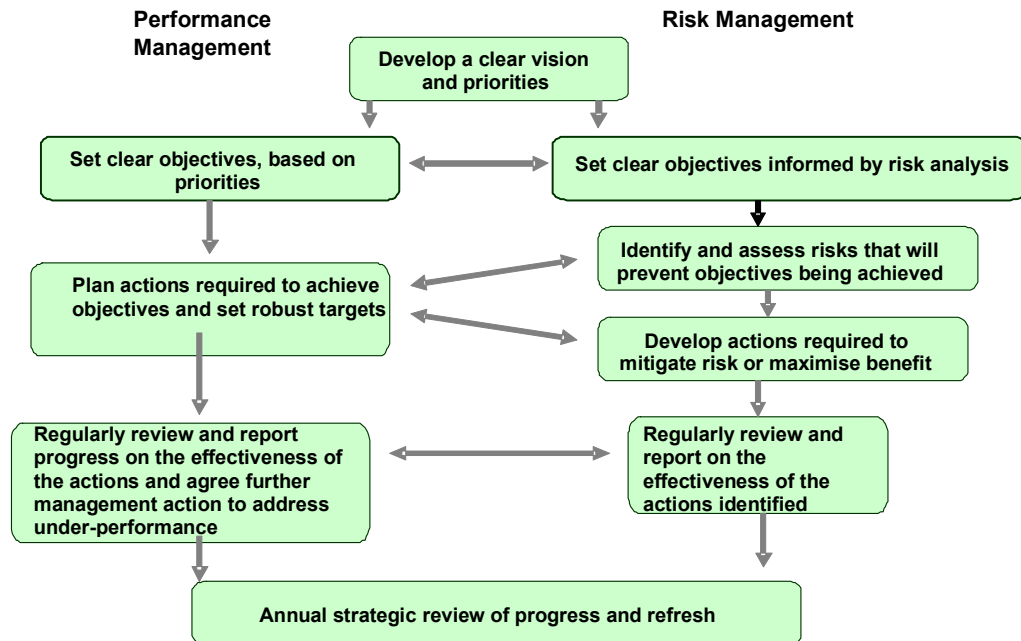
## **Performance Management and Risk Management**

Performance Management is “...an on-going, systematic approach to improving results through evidence based decision making, continuous organisational learning, and a focus on accountability for performance” (Audit Commission)

By contrast, risk management is the process of identifying and managing issues that could prevent the achievement of objectives. Although, both processes are different in emphasis, they share the same goal - the achievement of organisational objectives. Risks cannot be identified without understanding priorities, objectives and targets. Equally, the setting of performance targets needs to be informed by an understanding of the risks which may threaten performance.

So it is important, that the risk management framework is developed to take account of and to support the Council's performance management framework.

The links between the performance management process and risk management are detailed in the following diagram:



## How does this policy relate to other Council policies?

**Corporate Health & Safety Policy:** sets out the Council's broad approach to the management of risks to health and safety

**ICT Security Policy:** indicates the Council's broad approach to the management of information security and sets out the key control actions to be undertaken to manage information security risks

**Financial Regulations:** cross reference the corporate Risk Management Policy and set out the requirements for managing resource-related risks

### **Council Constitution:**

Contract Procedure Rules: – confirm the rules around procurement which act as controls in relation to procurement risk

Financial management: – confirms the key controls adopted to ensure effective financial planning and management

Risk Management and Control of Resources: – confirms the need for effective risk management and the controls intended to achieve this.

External Arrangements: - requires an agreement to be in place for each partnership, the development of which is to be subject to a risk management process to establish and manage all known risks

**Code of Corporate Governance:** summarises how the Council will deliver the six principles of effective governance and how the risk management framework contributes to this.

**Performance Management Framework:** sets out the Council's approach to performance management and its links with risk management.

## **What Level of Capability Do We Want to Achieve?**

Our current ambition is to achieve Level 4 of the ALARM National Performance Model for Risk Management (Embedded & Working) by the end of the 2014/15 financial year.

## **What Additional Actions Are We Going to Take to Achieve This?**

- Agree an approach for determining the Council's appetite for risk and arrange for the leadership to consider this on an annual basis
- Ensure that the political leadership understands the key risks facing the organisation and has the opportunity to challenge the analysis of the executive leadership.
- Ensure that, as key strategies and policies are updated, they take account of risk management principles
- Ensure that Members and officers are made aware of their responsibilities for managing risk
- Establish a risk champion within each directorate
- Develop and provide training and guidance to Members and officers to enable them to discharge their responsibilities
- Incorporate risk management responsibilities into the Council's performance appraisal process
- Ensure that decisions about the establishment of programmes and partnerships are informed by an evaluation of the risks and benefits
- Review the governance arrangements for programmes and partnerships to ensure that they incorporate effective arrangements for managing risk
- Review our risk management process and ensure that it conforms to best practice.
- Introduce a consistent format for the capture and reporting of risk information.
- Implement the revised arrangements for the reporting of risk information

- Introduce a model for evaluating the Council's risk management maturity and acting on the results
- Implement a mechanism for evaluating the impact of risk management on outcomes

## **What Resources Will We Need?**

We recognise that, particularly in the current financial environment, our Policy will need to be delivered within existing resources. Key officer resources will be the Risk & Insurance team and the Risk Champions within each directorate. However, implementation of the Policy will also require input from functions across the Council, including Internal Audit, Improvement, Policy, Performance Management and the Change Team.

The development and delivery of a programme to equip Members and Officers with the knowledge and skills to embed the Policy will need particular support from the Organisational Development team.

The capture and sharing of risk information will also be managed using existing information technology.

## **How Will We Evaluate Our Progress?**

Progress reports on the above actions will be provided to the Strategic Director (Transformation & Resources) and to each meeting of the Council's Audit & Risk Management Committee.

Internal Audit will undertake an annual assessment of the Council's risk management maturity, using the framework contained in the CIPFA document - "It's a Risky Business: A Practical Guide to Risk Based Auditing". This will be reported to the Chief Executive Strategy Group and to Audit & Risk Management Committee.

## **Appendix A - Glossary**

### **Control**

A measure that mitigates a risk, including any process, policy, device, practice, or other action

### **Control Owner**

Individual responsible for the maintenance of an existing control or the implementation of a additional control

### **Corporate Governance**

The systems and processes, and cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities

### **Current risk score**

Assessment of the combined scores, for the likelihood and impact of the risk happening, **after** taking into account any controls in place to manage the risk.

### **Impact**

The evaluated effect or result of a particular risk happening

### **Likelihood**

A qualitative description of the probability or frequency of the risk happening

### **Risk**

An uncertainty that could have adverse or beneficial effects on the achievement of the Council's objectives

### **Risk Appetite**

The amount and type of risk that an the Council is prepared to seek, accept or tolerate in pursuing its objectives

### **Risk Management**

Co-ordinated activities to direct and control an organization with regard to risk

### **Risk Management Policy**

A statement of the overall intentions and direction of the Council related to the management of risk

### **Risk Matrix**

A graphical table which facilitates the risk analysis process, shows the scales of likelihood and impact and plot risk scores

### **Risk Owner**



The person responsible for the objective which would be affected by the risk

**Risk Register**

A summary of information relating to the risks to the achievement of an objective or set of objectives

**Unmanaged risk score**

Assessment of the combined scores, for the likelihood and impact of the risk happening, **before** taking into account any controls in place to manage the risk.

## Appendix B – Risk Categories

Categories are widely used to identify sources of risk. Some will be of greater concern at the corporate/strategic level and some at the departmental/service level. However there is no clear distinction and all levels of management should be concerned, to varying degrees, with the majority of categories.

The categories below will assist at the risk identification stage in order to provide prompts to help identify risks. Risks can of course fall into one or more categories.

### External

Category	Definition	Examples
<b>Political</b>	Associated with the political environment in which the Council operates	<ul style="list-style-type: none"> <li>• New political arrangements</li> <li>• Member support / approval</li> <li>• Electorate dissatisfaction</li> <li>• Impact of electoral changes</li> </ul>
<b>Economic</b>	Associated with changes in the economic environment, their impact on the community and Council's own financial position.	<ul style="list-style-type: none"> <li>• National and regional economic situation</li> <li>• HM Treasury – investments, reforms, budget cuts</li> <li>• Key employment sectors (current and future)</li> <li>• Borrowing, lending situations, investments and interest rates</li> <li>• Inflation</li> </ul>
<b>Social</b>	Relating to the effects of changes in demographic, residential or socio-economic trends.	<ul style="list-style-type: none"> <li>• Residential patterns / profile (state of housing stock, public / private mix)</li> <li>• Health trends / inequalities</li> <li>• Demographic profile (age, race etc.)</li> <li>• Lifelong learning</li> <li>• Crime statistics / trends</li> </ul>
<b>Legal / Regulatory</b>	Associated with current or potential changes to legislation and the regulatory environment at national and international level.	<ul style="list-style-type: none"> <li>• Government policy</li> <li>• Inspection / regulation (e.g. Ofsted)</li> <li>• European Directives (e.g. procurement)</li> </ul>

		<ul style="list-style-type: none"> <li>• Legal challenges</li> <li>• Statutory duties / deadlines (e.g. FoI)</li> </ul>
<b>Technological</b>	Associated with the impact of the pace/scale of technological change on the community and the Council, or our ability to use technology to address changing demands.	<ul style="list-style-type: none"> <li>• Technology driving demand – customer needs and expectations</li> <li>• Digital exclusion</li> <li>• Increasing reliance on technology</li> <li>• Resilience of key IT systems</li> <li>• Capacity to deal with change</li> </ul>
<b>Environmental</b>	Relating to the environmental consequences of realising our objectives and the impact of environmental change on the Council and the community.	<ul style="list-style-type: none"> <li>• Impact of planning and transport policies</li> <li>• Nature of environment (urban / rural)</li> <li>• Land use – green belt, brown field sites</li> <li>• Contamination, pollution</li> <li>• Storage / disposal of waste</li> <li>• Climate change and impact of severe weather</li> </ul>

**Internal**

<b>Financial</b>	Arising from the financial planning and control framework	<ul style="list-style-type: none"> <li>• Quality of financial forecasting, profiling and cost/benefit analysis</li> <li>• Effectiveness of financial controls</li> <li>• Lack of investment</li> <li>• Failure to prioritise budgets</li> <li>• Level of financial skills and knowledge</li> <li>• Adequacy of financial reporting</li> <li>• Management of budgetary pressures</li> </ul>
<b>Customer / Citizen</b>	Arising from the need to meet the changing needs, choices and expectations of customers and citizens	<ul style="list-style-type: none"> <li>• Effectiveness of safeguarding</li> <li>• Relations with community leaders and groups</li> </ul>

		<ul style="list-style-type: none"> <li>• Extent and nature of consultation</li> <li>• Managing expectations</li> <li>• Reputation management</li> <li>• Management of complaints and compliments</li> <li>• Visibility of services (e.g. refuse collection)</li> </ul>
<b>Partnership / Contractual</b>	Arising from the ability of contractors and partnership arrangements to deliver services or outcomes to the agreed cost and specification	<ul style="list-style-type: none"> <li>• Resilience of partners / supply chains</li> <li>• Accountability frameworks and partnership boundaries</li> <li>• Managing performance</li> <li>• Experience and expertise in commissioning</li> <li>• Governance arrangements</li> </ul>
<b>People</b>	Arising from the capability, competency and capacity of those who work for the Council and their welfare and safety.	<ul style="list-style-type: none"> <li>• HR / employment policies</li> <li>• Quality of industrial relations</li> <li>• Reliance on key staff</li> <li>• Recruitment and retention</li> <li>• Health and safety duties</li> <li>• Level of staff morale</li> <li>• Adequacy of skill set</li> </ul>
<b>Tangible Assets (Physical)</b>	Relating to the availability, security, safety and adequacy of land, buildings, plant and equipment	<ul style="list-style-type: none"> <li>• Nature and state of asset base</li> <li>• Resilience and service continuity arrangements</li> <li>• Maintenance practices and policies</li> <li>• Security arrangements</li> </ul>
<b>Processes &amp; Professional Judgements</b>	Arising from internal protocols management processes and the nature of individual professions	<ul style="list-style-type: none"> <li>• Quality of professional judgements</li> <li>• Effectiveness of project management and performance management</li> </ul>

		processes
<b>Managerial / Leadership</b>	Arising from managerial ability and the quality of leadership	<ul style="list-style-type: none"> <li>• Stability of officer structure</li> <li>• Quality of internal communications</li> <li>• Professional standing of key officers</li> <li>• Management culture</li> <li>• Workforce planning</li> <li>• Authority</li> </ul>
<b>Data and Information</b>	Arising from data or information which the Council uses or manages. Access to, the management of and effectiveness of, information generated or required by the organisation.	<ul style="list-style-type: none"> <li>• Data security</li> <li>• Data processing arrangements</li> <li>• Data reliability / quality</li> <li>• Effective use and interpretation of information</li> <li>• E-government</li> </ul>
<b>Governance</b>	Relating to the adequacy of the Council's governance arrangements and adherence to them	<ul style="list-style-type: none"> <li>• Speed / effectiveness of decision-making processes</li> <li>• Clarity of purpose</li> <li>• Level of accountability and openness</li> <li>• Limits of authority</li> <li>• Standards of conduct and behaviour</li> <li>• Enforcement of corporate policies / standards</li> </ul>

## Appendix C

### RISK ACTION PLAN TEMPLATE

This template is to be completed for ALL risks in the Directorate Risk Register currently evaluated as red in the Council's risk scoring matrix.

RISK OVERVIEW	
Risk Description	
Risk Owner	
Directorate Lead	

CURRENT SITUATION: Detail the current risk score and reason/s why it is considered to be so significant	
Current Score : (Likelihood x Impact)	
Why is the risk considered to be so significant?	

ACTIONS: This describes what is necessary or how to reduce the risk score. This way everyone is clear on what is required and when; knows the expected outcome and how to achieve it.	
What (is required)	
How (will it be achieved)	<i>Are there any resource allocation required for specific activities?</i>
Who (will be responsible) i.e. the control owner	
When (will results be realised)	<b><i>Date required.</i></b>
What (should the score be when the action(s) are implemented)	

**Signed.....**Manager responsible for the service

**Date .....**

**Signed .....**Head of Service:

## Appendix D – Risk Register Template

Priority / Objective	Risk Ref.	Risk Description	Unmanaged Scores			Risk Category	Risk Owner	Existing Controls	Current Scores			Risk Review Frequency	Planned Additional Controls	Control Owner	Target Date	Target Scores			Current Risk Status (▲ ▼ ◀ ▶)	Risk Action Update
			Likelihood	Impact	Total (LxI)				Likelihood	Impact	Total (LxI)					Likelihood	Impact	Total (LxI)		
					0				1	2	2	HY						0		
					0				1	2	2	HY						0		
					0				4	5	20	M						0		
					0				3	4	12	Q						0		



## WIRRAL COUNCIL

### CABINET 13 MARCH 2014

<b>SUBJECT:</b>	<b>NEW HALL FARM, HOYLAKE</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>HEAD OF UNIVERSAL &amp; INFRASTRUCTURE SERVICES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>COUNCILLOR ADRIAN JONES</b>
<b>KEY DECISION?</b>	<b>YES</b>

#### 1.0 EXECUTIVE SUMMARY

- 1.1 To recommend that the Council enters into a Deed of Surrender of land included in the present agricultural tenancy at New Hall Farm, Hoylake, which is required for the proposed Hoylake Golf resort.
- 1.2 To recommend that the Farmhouse and outbuildings are contemporaneously sold to the present tenant.
- 1.3 To recommend that the residual land be leased back to the tenant for him to manage until such time as it is required for the resort.

#### 2.0 BACKGROUND AND KEY ISSUES

- 2.1 The concept of a high quality golf resort has been an aspiration of the Council since the Open Golf Championship returned to Royal Liverpool in 2006. The project has been identified as a key objective in the Investment Strategy as its delivery will bring significant benefits to Wirral and include:
  - Multi million pound investment by the private sector in the golf resort proposals in Hoylake and West Wirral contributing to the area's regeneration.
  - An international standard facility and the opportunity to regularly attract a variety of major golf competitions to Wirral.
  - The creation of direct and indirect jobs through the supply chain which will be needed to support the golf resort.
  - The potential to significantly enhance the image of Wirral as a destination for leisure and business.
  - Increased attraction of Wirral to the golfing sector and the development of golf related activities which will have the potential to increase the number of tourists and visitor spend.

- Improved environment and landscape quality of the land on which it is to be constructed.

### **3.0 CURRENT POSITION**

- 3.1 The Council has commenced an OJEU Competitive Dialogue Process to identify a development partner to deliver the Hoylake Golf Resort. As part of this process it is necessary to provide potential bidders with as much certainty as possible as to the status and amount of land that can be made available to the scheme.
- 3.2 From the outset, the Council owned land known as New Hall Farm was identified as being potentially available for the Golf Resort project and as such negotiations with the current tenant, Mr Home, have been taking place with a view to negotiating a surrender of his existing lease.
- 3.3 The lease extends to 149 acres of poor grade agricultural land which includes a farmhouse and outbuildings. Mr Home has been in occupation since 1962 and currently pays a rental of £8,000 per annum.
- 3.4 The lease is protected by the Agricultural Holdings Act 1986 and the Council could only force a surrender should planning permission be granted for an alternative use. This is known under the Act as a 'Case B Notice to Quit' and the statutory compensation would amount to six times the passing rent which would be £48,000 in total.
- 3.5 The process required to secure Case B is however lengthy and by no means certain being dependent on strict timing as to when appropriate notices need to be served. As stated, planning permission needs to be in place before embarking on the process which would cost the developer hundreds of thousands of pounds in fees and investigations with no certainty that the land would be available.
- 3.6 In order to remove this uncertainty which is currently stymieing any progress on the resort, a provisional deal has been struck with Mr Home to increase the compensation to £60,000 to reflect his preparedness to voluntarily surrender the lease in advance of any Case B action. At the same time, the Council will sell him the farmhouse and outbuildings, shown hatched on plan, which currently constitute a management liability.
- 3.7 It is then intended that the residual land, shown cross hatched on plan, be leased back to Mr Home under a Farming Business Tenancy until such time as it is required for the resort. Any such tenancy for a period of less than two years will terminate at a specified date, which in this case will be 29<sup>th</sup> September 2015 which is calculated as the earliest possible date by which planning consent could be secured.
- 3.8 The farmhouse and buildings have been independently valued at £322,000 and it is the intention to deduct the £60,000 compensation from this. In addition, an amount for backlog repairs will be deducted for which the Council is responsible under the terms of the lease. The buildings have been surveyed and the required repairs costed at £25,000. The residual sum on sale therefore will amount to £237,000.

#### **4.0 RELEVANT RISKS**

4.1 Failure to secure an agreement with Mr Home will jeopardise the development of the Golf Resort.

#### **5.0 OTHER OPTIONS CONSIDERED**

5.1 There are no other options available.

#### **6.0 CONSULTATION**

6.1 These will be undertaken as part of the planning process.

#### **7.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

7.1 None

#### **8.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

8.1 The transaction as reported will produce a capital receipt in the amount of £237,000, and fits with the Asset Management disposal policy.

#### **9.0 LEGAL IMPLICATIONS**

9.1 Appropriate documentation will need to be drawn up to effect the surrender and subsequent sale and leaseback.

#### **10.0 EQUALITIES IMPLICATIONS**

10.1 Has the potential impact of your proposal(s) been reviewed with regard to equality?

(a) Yes an impact review is attached

<http://www.wirral.gov.uk/my-services/community-and-living/equality-diversity-cohesion/equality-impact-assessments/eias-2010/law-hr-asset-management>

#### **11.0 CARBON REDUCTION IMPLICATIONS**

11.1 None.

#### **12.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

12.1 There are no planning implications arising from the transactions outlined in this report. Any future planning application would be assessed against the statutory development plan (currently the Unitary Development Plan) and material considerations that would relate to the proposals as and when they emerge.

#### **13.0 RECOMMENDATIONS**

13.1 That the Council enters into a Deed of Surrender of land included in the present agricultural tenancy at New Hall Farm, Hoylake, which is required for the proposed Hoylake Golf resort.

- 13.2 To recommend that the Farmhouse and outbuildings are contemporaneously sold to the present tenant with deductions to be made as outlined in the report in respect of the compensation agreed and the outstanding repairs.
- 13.3 To recommend that the residual land be leased back to the tenant for him to manage until such time as it is required for the resort.

#### **14.0 REASONS FOR RECOMMENDATIONS**

- 14.1 To enable the land to be included in the offer for the Golf Resort.

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#### **APPENDICES**

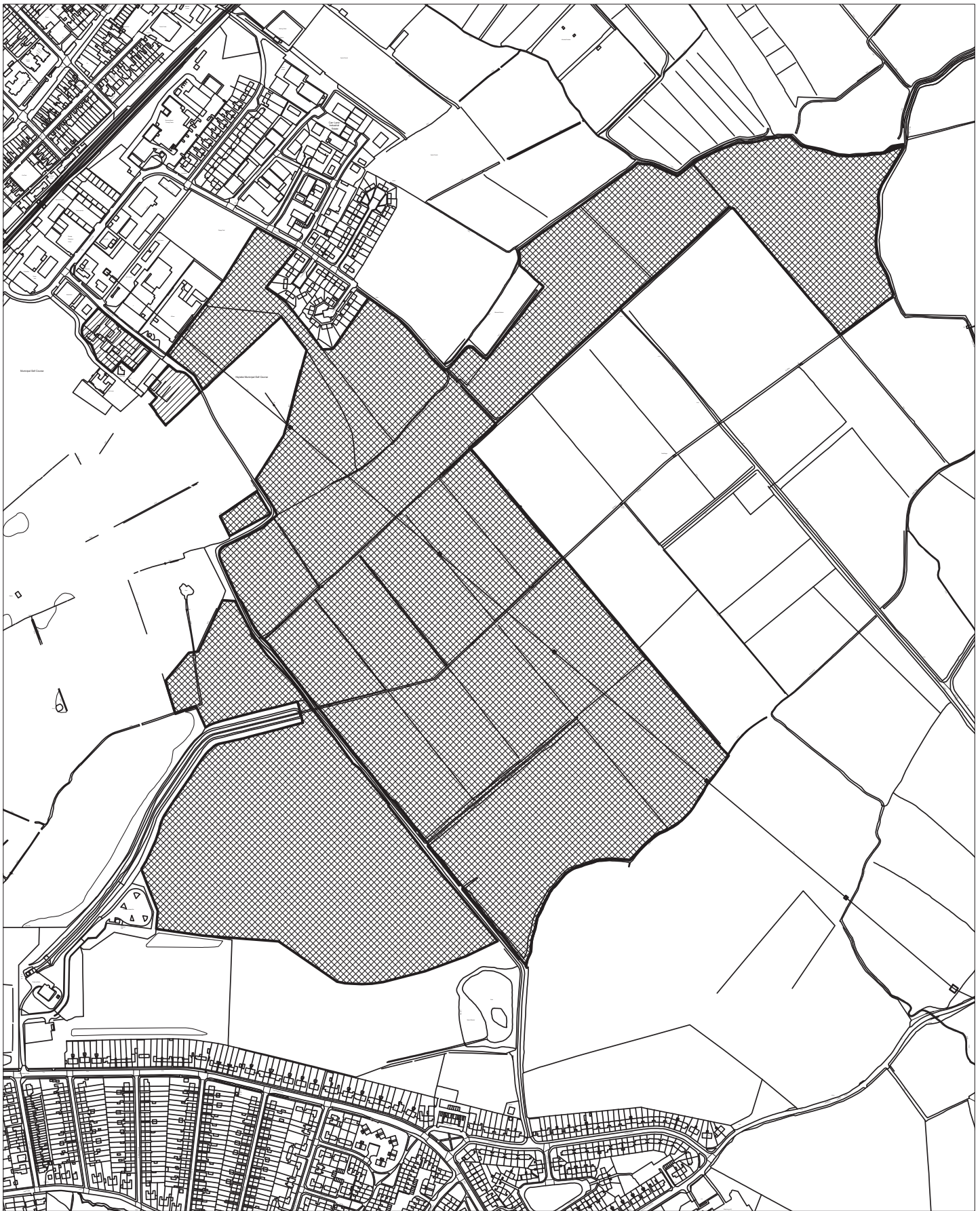
Location Plan

#### **REFERENCE MATERIAL**

None

#### **SUBJECT HISTORY (last 3 years)**

<b>Council Meeting</b>	<b>Date</b>



title New Hall Farm Hoylake	scale 1:5000		
	date 19/2/2014	map ref. 49SW	

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## POLICY AND PERFORMANCE COORDINATING COMMITTEE 15 JANUARY 2014

### **30 INDIVIDUAL ELECTORAL REGISTRATION SCRUTINY REVIEW REPORT**

A Report by the Director of Public Health/ Head of Policy and Performance provided a detailed account of a Scrutiny Review which considered Wirral's preparations for the introduction of Individual Electoral Registration (IER) in 2014. Members heard how the introduction of IER was a government initiative to transfer the existing property- based electoral register to a new register which would rely on individuals registering themselves.

The Chair of the IER Scrutiny Review Panel addressed the Committee. A vote of thanks was expressed to all that had been involved with the piece of work. It was identified that while the accuracy of Wirral's Electoral Register was above the national average, some trends had been identified, particularly in the more deprived areas of the Borough in relation to inaccuracies. The positive aspects of cross party working was then highlighted.

Other Members of the IER Scrutiny Review Panel present endorsed comments made by Councillor Stapleton.

A Member highlighted concerns with paragraph 3.3 of the report whereby it was reported that in some wards, notably those with higher levels of known deprivation, there would be a higher proportion of voters not automatically transferred onto the register. The question was raised as to what could be put in place to alleviate this problem.

The Project Coordinator Policy and Performance Manager clarified that work will be undertaken to canvass targeted areas. A test run had been conducted that had proved successful. The Head of Legal and Member Services commented that the Cabinet Office and Electoral Commission will be co-ordinating and launching a national campaign and the Council will look to undertake a targeted awareness campaign aimed at specific areas within electoral wards as required.

A Member suggested that a campaign on local radio be launched to encourage the public to ensure they are on the electoral register. It was suggested that the campaign should include information about the negative effect on personal credit ratings and the ability to gain credit if an individual is not on the electoral register.

A Member raised concerns about members of the public who will continue to be excluded. It was stated that this should be raised at Cabinet level. It was then suggested that any costs involved for radio campaigns could be shared with neighbouring authorities.

Another Member suggested that the Council's current IT systems continue to be looked at so data can correspond with gaps on the register.

**RESOLVED:**

- (1) That Members of the Committee note the contents and recommendations of the report.**
- (2) That Members agree that the report be referred to Cabinet.**



# WIRRAL COUNCIL

## Policy and Performance Coordinating Committee

15 January 2014

<b>SUBJECT:</b>	<b>Individual Electoral Registration Scrutiny Review Report</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>Director of Public Health/Head of Policy &amp; Performance</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>Cllr Ann McLachlan (Governance and Improvement)</b>
<b>KEY DECISION?</b>	<b>NO</b>

### 1.0 EXECUTIVE SUMMARY

- 1.1 This report (included as Appendix 1) provides a detailed account of a Scrutiny Review which considered Wirral's preparations for the introduction of Individual Electoral Registration (IER) in 2014. The introduction of IER is a government initiative to transfer the existing property-based electoral register to a new register which will rely on individuals registering themselves.
- 1.2 Members of the Coordinating Committee are requested to consider the contents of this report and note the recommendations arising from this review.

### 2.0 BACKGROUND AND KEY ISSUES

- 2.1 At its last regular meeting on 3 September 2013, the Coordinating Committee agreed a work programme which included a review of the Council's preparations for IER. Four Members of the Committee volunteered to undertake this work including Cllr Jean Stapleton, Cllr Moira McLaughlin, Cllr Denise Roberts and Cllr Steve Williams.
- 2.2 At the first meeting of the Review Panel, it was agreed Cllr Jean Stapleton would be the Chair of the Panel. The review was conducted over a series of meetings in October/November with appropriate officers providing information as requested by the panel and taking part in a detailed question and answer session.

### 3.0 SUMMARY

- 3.1 The formal process for transferring to IER will commence in summer 2014. The Council's preparation's to date have included:
- The procurement and implementation of a new Electoral Management System which is compatible with IER requirements

- Working in a partnership with other Cheshire and Merseyside authorities to project plan the transfer to IER and meet a set of milestones as set by Cabinet Office.
- The completion of a test run of the data transfer process in August 2013 in which the Council's success rate exceeded the national average.

3.2 The introduction of IER does present some risk to some the Council in terms of all voters on the register being successfully transferred to the new register. However, the review provided an opportunity for Members to gain a good understanding of the work being undertaken to mitigate that risk.

3.3 The Panel's assessment was that overall Wirral is in a strong position and is likely to have a relatively smooth transfer to IER in 2014. However, Panel Members were concerned that in some wards, notably those with higher levels of known deprivation, there will be higher proportions of voters not automatically transferred. Additional work will have to be undertaken to ensure these voters are successfully transferred.

3.4 The Panel was also concerned that these same locations tend to have higher numbers of people not on the electoral register. As such, Members were keen for the IER process to be used as a vehicle to promote electoral registration more generally to encourage those not registered to register.

#### **4.0 RELEVANT RISKS**

4.1 There are none directly relating to this report.

#### **5.0 OTHER OPTIONS CONSIDERED**

5.1 N/A

#### **6.0 CONSULTATION**

6.1 N/A

#### **7.0 OUTSTANDING PREVIOUSLY APPROVED ACTIONS**

7.1 N/A

#### **8.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

8.1 N/A

#### **9.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

9.1 The implementation of IER will require additional resources to manage the process of transferring from the existing to the new electoral register. The Cabinet Office is committed to meeting these additional costs and allocations of funding are being awarded to local authorities based upon population size and the results of the test data-matching exercise. A financial assessment is included in the full report in Appendix 1 section 5.4.

#### **10.0 LEGAL IMPLICATIONS**

10.1 N/A

## **11.0 EQUALITIES IMPLICATIONS**

11.1 Has the potential impact of your proposal(s) been reviewed with regard to equality?

~~(a) Yes. The impact review has been sent to the Equality and Diversity Co-ordinator and is located at –~~

~~(b) No because there is no relevance to equality.~~

~~(c) No because of another reason which is~~

The report is for information to Members and there are no direct equalities implications at this stage.

## **12.0 CARBON REDUCTION AND ENVIRONMENTAL IMPLICATIONS**

12.1 N/A

## **13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

13.1 N/A

## **14.0 RECOMMENDATION/S**

14.1 Members of the Committee are requested to note the contents and consider the recommendations arising from this report.

14.2 Members of the Committee are requested to consider whether they wish to refer the report to Cabinet.

## **15.0 REASON/S FOR RECOMMENDATION/S**

15.1 To ensure Members have an understanding of the implications of IER for Wirral.

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## **APPENDICES**

Appendix 1 – Wirral Council’s Preparations for Individual Electoral Registration Scrutiny Review

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**Wirral Council's preparations for  
Individual Electoral Registration**

**Scrutiny Review**

*A report produced by*  
**The Policy & Performance Coordinating Committee**

***FINAL REPORT  
December 2013***

**WIRRAL BOROUGH COUNCIL**

***Wirral Council's Preparations for  
Individual Electoral Registration  
Scrutiny Review***

**FINAL REPORT**

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<b>7.</b>	<b>MEMBERS OF THE REVIEW PANEL.....</b>	<b>14</b>
	<b>Appendix 1: Scope Document.....</b>	<b>15</b>

## 1. EXECUTIVE SUMMARY

Individual Electoral Registration is due to be introduced in 2014 and will transform the way Local Authorities' are required to compile their Electoral Registers. A national timetable is being coordinated by the Cabinet Office which requires Councils to meet a range of key preparation milestones. This scrutiny review has been conducted to ensure Wirral's preparations are robust and that any potential issues or problems are understood and are being addressed.

The success of the transfer from the existing property-based register to the IER register is dependent on a combination of national and local data-matching exercises. Initial testing of the data-matching process suggests Wirral's results will be above the national average putting us in a strong position to establish the new register in summer 2014. However, the full potential of local data-matching is yet to be fully realised and will be dependent on the availability of local data sources.

**Recommendation 1: Where access to Council held data is required for the purpose of data-matching to support the transfer to IER, this is made available (in line with legal requirements) to the Elections Team in a timely manner.**

The Review Panel acknowledged the crucial role all Council Members will have in terms of communicating the changes and encouraging constituents to take action if they are not automatically transferred to the new IER register. The Panel also recognised the value that Members' local knowledge will have in supporting implementation. Therefore, keeping Members informed during preparation and implementation will be essential.

**Recommendation 2: The Head of Legal and Member Services to coordinate periodic briefings with all Members as a means of maintaining two-way communication to support the implementation of IER.**

**Recommendation 3: Chairs of constituency committees are requested to include IER as a topic for discussion as part of their forward planning in the New Year.**

The Cabinet Office is committed to supporting the costs of implementing IER. The Review Panel considered the financial implications for Wirral in the light of the funding allocation provided. Whilst the budget forecast will need to be worked up in more detail as further information becomes available in 2014, the initial forecast indicates there will be sufficient resource available including a reasonable contingency.

The Review Panel sees the transfer to IER as a major opportunity to highlight the importance of electoral registration and use the additional resources available to maintain existing levels of registration and concentrate on those areas where levels of registration are lower.

**Recommendation 4: The Head of Legal and Member Services should ensure that funds are used in accordance with Cabinet office requirements/conditions and where possible used to support additional targeted engagement and canvassing activities, using the IER process as a vehicle to maximise electoral registration, and for contingency purposes.**

Overall, the Panel found this review to be very informative. In particular, the results and analysis of the Confirmation Dry Run data-match exercise with Census 2011 data were considered to be very useful and provided a level of detail that Members have never seen before. The Panel agreed that this information should be available to all Members and through the Council's website.

**Recommendation 5: The Head of Legal and Member Service to make Ward data on IER and non-registered eligible voters available to all Elected Members and via the Council's website.**

This review is a good example of horizon-scanning scrutiny in that IER is a national initiative being launched in 2014. The review has provided an opportunity to consider the potential issues in relation to implementing IER locally. In this sense the review has been an assessment of the Council's readiness at a particular point in time. It was recognised by the Panel that a further update is reported to the Policy and Performance Committee closer to the transition going live in June 2014.

**Recommendation 6: The Head of Legal and Members Services should prepare a report to the Policy and Performance Committee providing an update on preparations for IER closer to the launch in June 2014.**



## **2. INTRODUCTION**

At the meeting of the Policy and Performance Coordinating Committee on 3<sup>rd</sup> September 2013, Members approved a work programme which included a review of the Council's preparations for Individual Electoral Registration (IER). A Scrutiny Review Panel of four Members of the Committee was established and a series of meetings were held in Autumn 2013. The purpose of the review was for the Panel to gain an understanding of the implications of IER for Wirral. This would enable the Panel to test the Council's readiness for this new approach to compiling the electoral register and seek assurance that preparations are in hand. This reports sets out the background, methodology, findings and recommendations arising from this work.

## **3. BACKGROUND**

In 2014 the Government is changing the way people register to vote. Under the current system one person can register all occupants in the same household. Under the new system, called Individual Electoral Registration (IER), everyone will be individually responsible for their own registration. This approach sees the UK following practice in other countries and will pave the way for on-line registration (currently scheduled from June 2014).

Most people on the register before June 2014 should be automatically transferred to IER and should not need to do anything else. However, some people will need to provide additional information in order to stay on the register and will be sent letters inviting them to register under the new system. The process to register will involve residents providing their name, national insurance number and date of birth. This information will be checked to verify they are eligible to vote. In the case of those whose details cannot be verified, they will not be removed from the register until after the next General Election.

The shift to the new electoral register is being centrally managed by the Cabinet Office. A national timetable has been published with local authorities being individually responsible for meeting a series of milestones in order to prepare for the new system. The logistics of shifting from the current property-based register to the new IER register involves a major data-matching exercise. This will involve councils sending their existing registers to Cabinet Office for these to be data-matched with personal data held by the Department of Work and Pensions. This is scheduled for July 2014, with the IER register to be compiled from then and published on 1<sup>st</sup> December 2014.

A Confirmation Dry Run (CDR) run of the data-match process was completed during summer 2013. This also acted as a test for local authorities to demonstrate the compatibility of their IT software with that being used nationally. The result of this exercise was better than expected with a match rate of 78% across the country leading to confirmation by the Electoral Commission that preparations are sufficiently ready for IER to go ahead as planned in 2014.

In terms of the cost implications, Cabinet Office has stated its commitment to meeting the full cost, with £108M being allocated nationally. Allocations are being made to local authorities for the years 2013/14, 2014/15 and 2015/16.

## **4. ORIGINAL SCOPE AND METHODOLOGY**

### **4.1 Scope**

This review is a good example of horizon scanning scrutiny. At the time the review was conducted, planning for IER had commenced, but preparations were still in their early stages. This was acknowledged by the Panel and informed the scope of the review. The agreed scoping document is included at Appendix 1 and focussed around four key objectives as follows:

1. For the Panel to be satisfied there are robust arrangements in place for the implementation of IER.
2. To have a good understanding of the potential issues and problems in implementing this new system.
3. That Wirral is not financially disadvantaged by implementing IER.
4. That all opportunities are taken to use IER as a vehicle to maximise registration.

### **4.2 Methodology**

A combination of information sources were provided to the Panel. This included a number of documents to provide the national context and overall picture i.e. an IER Policy Briefing from the Local Government Information Unit and a summary report of the national results of the Confirmation Dry Run produced by the Cabinet Office. However, the main emphasis of the Panel was to develop an understanding of the local implications both at a borough-wide level and on a ward by ward basis. This was achieved by the Panel requesting a series of reports to cover the following:

- A detailed analysis of the results of the data-match Confirmation Dry Run (CDR) as well as those communities (geographical and thematic) where registration is lower
- The proposed strategy for maximising engagement and registration (with particular reference to those communities)
- A forecast of the financial impact of IER and whether this can be achieved from within existing resources assisted by the additional allocations from Cabinet Office for 2013/14, 2014/15, 2015/16.

(These reports are available on request).

The reports were followed up by a detailed question and answer session with key officers from the Council. This included the Head of Legal and Member Services and the Principal Electoral Services Officer. The review was carried out over three Panel meetings. A short review was adopted as a means of carrying out an assessment of the Council's preparations for IER at a point in time. It was acknowledged that a further update on progress should be considered by the relevant Policy and Performance Committee later on in the preparation process.

## 5. FINDINGS AND RECOMMENDATIONS

### 5.1 Early Preparations

The Chief Executive as the Borough's Electoral Registration Officer has responsibility for implementing IER. In terms of delivery, the Head of Legal and Member Services oversees the Elections Team and the IER Project Team. It is recognised IER requires a corporate approach and the project team has had input from the Improvement Team, IT Services, Marketing & Communications and Corporate Policy. The Council's early preparations for IER has focussed on three key areas:

- 1. The procurement and installation of a new Electoral Management System** – The Council's existing system was over ten years old and in need of replacement. A new, IER compatible system was procured through a joint tender with the Cheshire and Merseyside Authorities. This was implemented with considerable support from IT Services to a tight deadline in July/August 2013 in advance of the CDR data-matching exercise.
- 2. The successful completion of the CDR and local data-matching** – Wirral's CDR was completed on 19 August. Wirral's test result 83%, exceeded the national average of 78%. A further data-matching exercise with locally held Council Tax data resulted in the success rate being increased to 89%. This indicates that Wirral should have a strong foundation for transferring the current register to the IER register in July 2014.
- 3. Developing a partnership approach with the Cheshire and Merseyside authorities** – This ensures a consistency of planning and preparation as well as providing an opportunity to share ideas and good practice. The Cabinet Office expects Council's to develop a range of project, risk and engagement plans and the partnership ensures Wirral's preparations are consistent with those of other authorities in the sub-region.

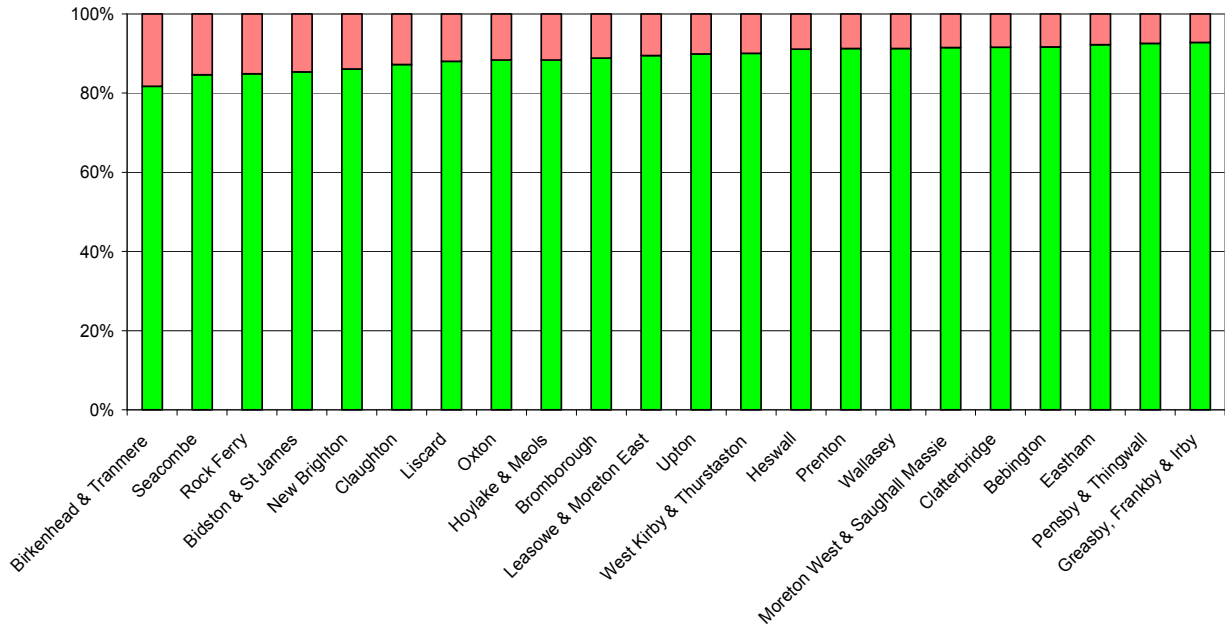
### 5.2 Analysis of Data-Matching Results and Census 2011

Overall, the results of the CDR and local data-matching indicate that out of the 239,814 people on the Electoral Roll, 213,792 would be confirmed under IER, a rate of 89%. Further local data-matching will be undertaken to reduce the number of red non-matches further.

Given the amount of information held by the Council in different departments, a hierarchy of data sources has been identified including housing benefit and schools data that will assist this work. Given issues around the Data Protection Act, it was highlighted that some departments may be less inclined to readily share data. However, the Council's Electoral Registration Officer does have the power to access all Council held data and Members of the Panel were keen to ensure there are no obstructions to the Elections Team accessing data in order to maximize the level of matching to the new IER register.

**Recommendation 1: Where access to Council held data is required for the purpose of data-matching to support the transfer to IER, this is made available (in line with legal requirements) to the Elections Team in a timely manner.**

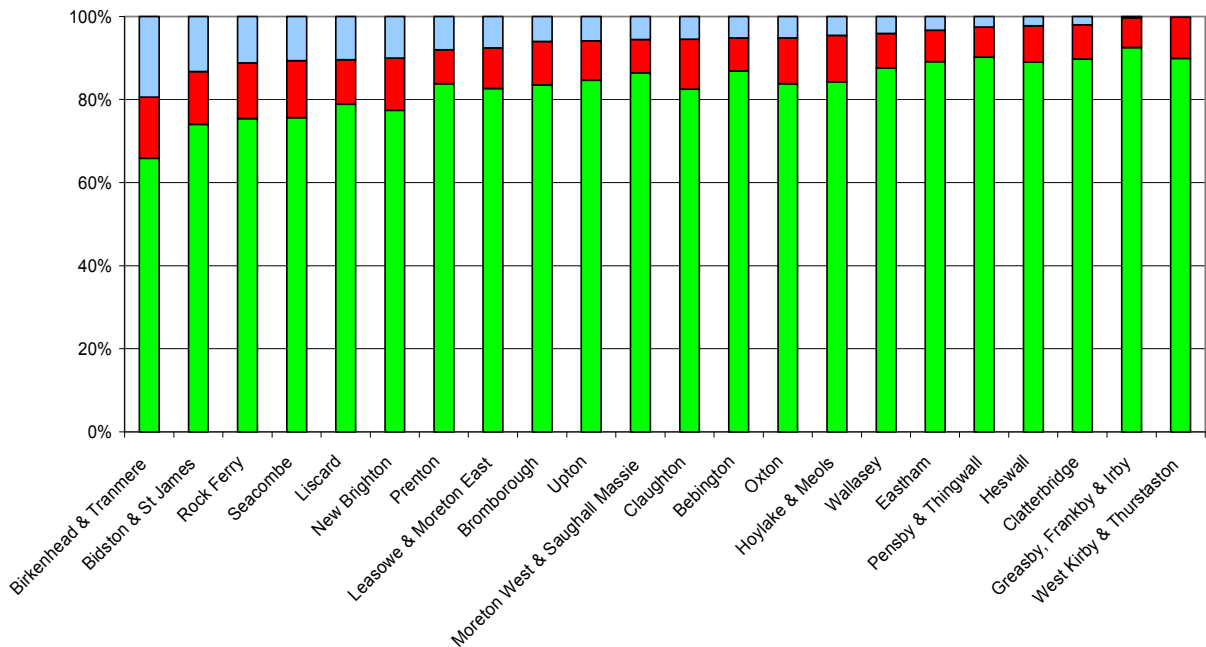
A detailed analysis of the results of the CDR and local data-match was provided to the Panel (see chart below). This provides a ward breakdown showing the number of positive (green) matches and non-matches (red).



This shows a fairly consistent picture of voters being successfully transferred across all wards, although it is interesting to note that the success rate is lower in those wards which have higher levels of known deprivation.

Further analysis was undertaken to explore levels of voter registration more generally using Census 2011 data to estimate the number of people over the age of 17 in each ward that do not appear on the register.

The chart below combines the results of the data-match exercise with the estimated percentages of non-registered voters. As in the previous chart, green indicates positive matches with red showing the negatives. Blue indicates the estimated proportion of the electorate who are not on the electoral register. The order of wards has the highest proportion of non-registered voters (Birkenhead and Tranmere) to the left.



This analysis shows a strong correlation between areas with higher levels of known deprivation and negative matches from the CDR exercise as well as levels of non-registration

more generally. The Panel noted that whilst the overall picture for Wirral at a borough-wide level is positive, the analysis shows there are some wards which are a cause for concern, including Birkenhead & Tranmere, Bidston & St James, Rock Ferry, Seacombe, Liscard and New Brighton.

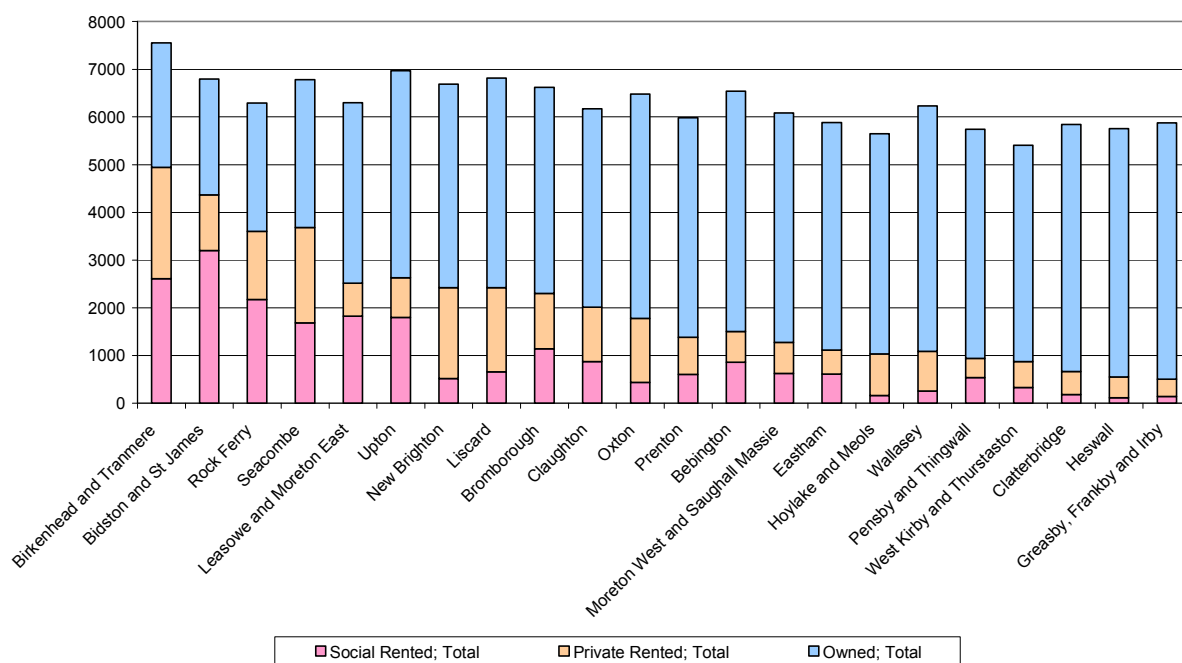
Members were interested in Wirral’s track record in getting new people on the register and what the challenges are to this. The current estimate of voters registered in Wirral is 92% which is above the national average of 90%. The challenge in getting this figure higher is resources, as there comes a tipping point in the cost-effectiveness of this given there will always be a residual number of people that do not want to or refuse to register.

One of the best incentives for encouraging registration is to make people aware of the negative impact it has on their credit rating. Members of the Panel highlighted concerns that currently many voters are reliant on other people registering them and with the introduction of IER the responsibility will fall on individuals to register themselves.

Additional analysis provided, highlighted those factors which are likely to impact on lower levels of voter registration amongst certain sections of community. These include:

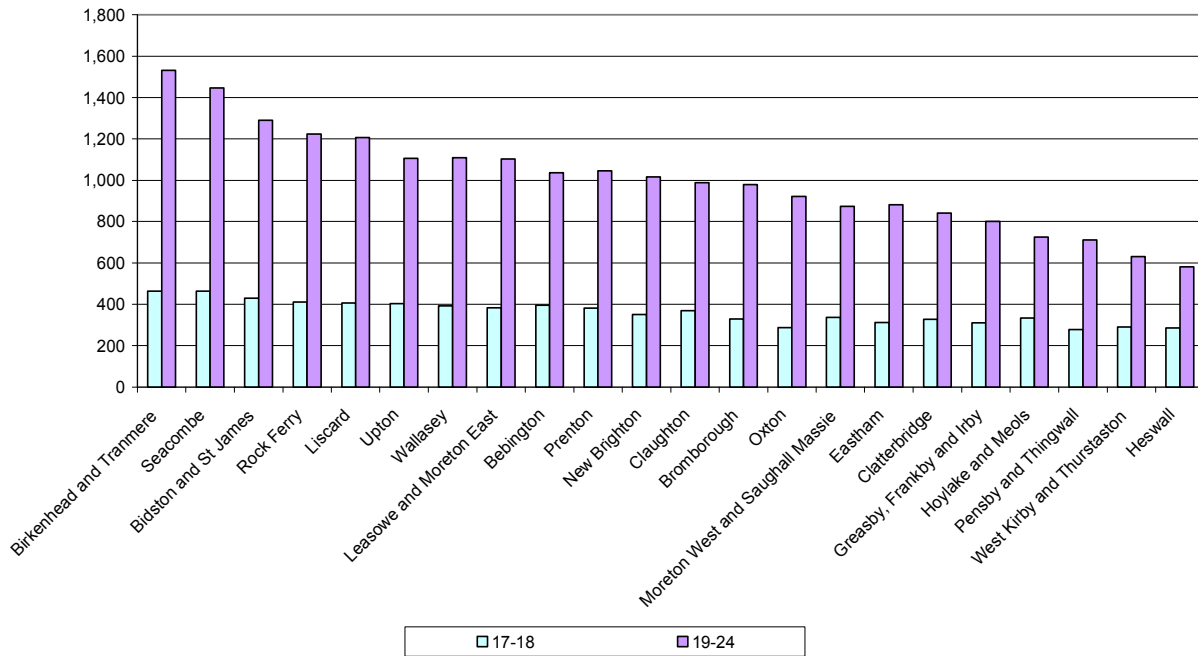
- People in rented accommodation (private and social)
- Young people
- Home movers

Apart from home movers which are randomly dispersed, geographical analysis of the proportions of people living in rented accommodation (see below) shows a strong correlation with those areas that have lower data-match results and higher numbers of non-registered voters.



In terms of the geographical dispersal of young people aged 17 – 24 (see chart below), this tends to follow the same pattern of distribution as rented accommodation again showing the correlation with areas that have lower data-match results and higher numbers of non-registered voters.

## Numbers of Young People by Ward



National analysis by the Cabinet Office explores BME communities as being at risk of under-registration. However, findings did not suggest that BME groups were statistically less likely to be registered than their white peers who otherwise share the same characteristics.

Using the Census 2011, local analysis was undertaken regarding the distribution of non-UK born residents. This indicates that apart from Birkenhead and Tranmere, the distribution of non-UK born residents is fairly evenly dispersed. Members were concerned that there is insufficient data held on BME and non-UK born communities such as the emerging Polish community. It was suggested the Council's engagement with minority communities would need to be coordinated through second-tier representative organisations such as Wirral Change and Wirral Multicultural Organisation.

### 5.3 Draft communications and engagement strategy

The communications campaign supporting the roll out of IER will be managed centrally through Cabinet Office / Electoral Commission and is scheduled to launch nationally in June 2014. It is essential the local campaign aligns with the timetable and messaging nationally to ensure consistency. As part of planning milestones, local authorities have been required to submit early draft communication and engagement strategies to Cabinet Office. A copy of the draft strategy was provided to the Panel. The strategy was drafted prior to the results of the CDR data-match analysis and will need to be further developed in due course.

Officers highlighted that local communications and engagement activity would operate on two levels. There is a need for a general awareness-raising campaign targeting all voters with generic messaging about the shift to IER and promoting electoral registration. This work will dovetail with national and sub-regional campaigns when they go live in 2014. Alongside this, a more targeted approach will be needed involving communications with key partner organisations in line with the under-represented groups set out above in section 5.2. Specifically schools, landlords / tenant groups and membership organisations that support

hard to reach communities. Members highlighted the opportunity to work with landlords through the network of Registered Social Landlords and the Council's Private Landlord's Association.

A further level of more detailed targeting will need to be coordinated through a new approach to delivering the annual canvas which reflects the ward by ward analysis non-matches and non-registered voters. The annual canvas is the means for compiling the electoral register, although work updating the register continues throughout the year. Currently there are 103 Polling Districts in Wirral and 80-90 canvassers. Usually a Polling District is allocated to one canvasser with some picking up a couple of districts. The CDR result provides a rationale for allocating resources in a much more targeted way. This will not be developed until 2014, as we are currently in the middle of the canvass for the local and European Elections next May.

The Panel was also advised that the type of work canvassers do will need to change, with more information being requested at the doorstep and the need for a strategy to respond to emerging issues depending on how people react. This approach will provide canvassers with the opportunity to highlight the legal requirements of registration and the wider benefits i.e. the positive effect on an individual's credit rating. Next year, the canvass period commences in July and continues through till 1<sup>st</sup> December when the IER register will be published. The process of IER effectively changes the whole approach to canvassing, but this process is yet to be finalised.

Members acknowledged that the draft communications and engagement strategy contains a range of different communication channels as some forms of communication i.e. the local free press are restricted in their coverage. Members were keen that all opportunities to engage with partners and share communication costs with other local authorities through cross-border initiatives should be explored.

It should be remembered that the process of shifting to IER will involve large amounts of direct mail going to individuals and households from July 2014. Confirmation letters will be sent to those people who have been matched and transferred to the IER register. Household Enquiry Forms (HEF) and Invitations to Register (ITR) will be sent to properties and people that have not been successfully matched. All of this will provide opportunities to include additional leaflets and messages.

Members were concerned about the clarity and accessibility of IER literature and application forms so they are not a barrier to some sections of the community. However, documentation is still in the process of being developed nationally and has not yet been shared or published.

Given the number of staff with frontline roles dealing with residents enquiries i.e. one stop shop and call centre staff, there will be opportunities to inform residents about IER on the back of contact for other matters. As part of its preparations, the Council has allocated a lead trainer to deliver a programme of briefings and trainings to ensure that frontline staff have a good understanding of IER in order to answer enquiries and promote registration.

Panel Members also acknowledged the role that all Council Members will have in terms of communicating the changes and encouraging constituents to take action if they have not been automatically matched and transferred to the new IER register. It was also recognised that Members have local knowledge and would have ideas about how best to engage and communicate with certain communities. Panel Members were keen to highlight the need for on-going briefing of all Elected Members and for good ideas for engaging with constituents to be shared.

**Recommendation 2: The Head of Legal and Member Services to coordinate periodic briefings with all Members as a means of maintaining two-way communication to support the implementation of IER.**

**Recommendation 3: Chairs of constituency committees are requested to include IER as a topic for discussion as part of their forward planning in the New Year.**

#### **5.4 Initial costs estimates for implementing IER in 2014**

The Panel was advised that in line with Cabinet Office's commitment to supporting the costs of implementing IER, allocations are being awarded to Council's in 2012/13, 2013/14 and 2014/15. These have been based on a formula including population size and the results of the CDR exercise. Wirral's allocation for 2012/13 has been £12,086. In terms of the allocation for 2013/14, the Council had just been informed that this would be £100,403. This figure was calculated using the results of the CDR exercise to determine the volume of correspondence and activity to address the non-matches to the IER register.

An initial forecast of the costs for 2014/15 has been developed based on the CDR and local data-matching results and a series of assumptions about the likely response rates to mail shots and canvassing activity. This figure was calculated at £240,518. The cost for delivering the annual canvas in 2012 was £187,534. Therefore, the allocation of £100,403 is considered to be sufficient with a satisfactory surplus of £47,000 to cover the cost of communications and engagement activity as well as any other potential resilience and/or contingency costs.

It was explained to the Panel that this forecast was an initial assessment, although it did err on the side of caution had been based on detailed work and assumptions. The assessment will be reviewed over the coming months as more details emerge from the Cabinet Office to ensure there is sufficient resource in place. The Panel was also advised that in advance of the announcement of the 2014/15 allocation and to mitigate the risk of insufficient resources to cover the costs of IER, the Head of Legal and Member Services had included some contingency in the Elections Team budget for 2014/15.

A further allocation from Cabinet Office is anticipated in 2014/15. However, this is not known at this time but will be expected to taper given the bulk of the work will be undertaken in the coming financial year.

**Recommendation 4: The Head of Legal and Member Services should ensure that funds are used in accordance with Cabinet office requirements/conditions and where possible used to support additional targeted engagement and canvassing activities, using the IER process as a vehicle to maximise electoral registration, and for contingency purposes.**



## 6. CONCLUSION

Overall, the Panel were assured the Council's preparations for IER are in hand. The Panel were also assured that officers have a good understanding of the IER project, including what needs to be done and what the likely problems and issues are likely to be going forward.

The results of the CDR and local data-matching indicate that our position is above average in terms of our readiness to transfer to the IER register, which is very encouraging. Whilst the picture at the Borough-wide level is very positive, Panel Members were concerned that at a local level there are some wards which are a cause for concern in terms of people being transferred to the new register and levels of registration more generally. This highlights the need for engagement and canvassing activities to be effectively targeted and resourced.

In terms of the data analysis, the Panel was impressed with the quality of the information and analysis provided. Members also highlighted this was the first time they had seen this level of analysis of the electorate and that this would be of interest to all Elected Members and residents and should be made publicly available.

**Recommendation 5: The Head of Legal and Member Service to make Ward data on IER and non-registered eligible voters available to all Elected Members and via the Council's website.**

The Panel highlighted the need for a corporate approach to IER with front-line staff being effectively briefed so the message about this change is widely communicated to members of the public. All Members of the Council should also receive regular written and verbal briefings to ensure they are able to provide the latest information to their constituents.

The Panel acknowledged this review had been undertaken early on in the process, and that it would be useful for officers to bring an updated position to the Policy and Performance Committee further down the line and at an appropriate point i.e. June/July 2014.

**Recommendation 6: The Head of Legal and Members Services should prepare a report to the Policy and Performance Committee providing an update on preparations for IER closer to the launch in June 2014.**

Finally, the Panel were keen to consider that once the IER register is published in December 2014, there would be a need consider how the on-going register is effectively maintained. This will be particularly important beyond the 2015 general election after which old records will be deleted and the register is mostly likely to experience a reduction.

## 7. MEMBERS OF THE REVIEW PANEL

### Chair's Statement:

The review provided a good opportunity for Members of the Coordinating Committee to understand the changes coming in next year. The Panel were impressed with the level of preparation already undertaken by Council Officers and are confident Wirral's transfer to the new register should go well in 2014. This is an issue that all Members need to be aware of so that they can answer questions from constituents as the transfer to IER draws nearer.

It is clear over 90% of people will be automatically transferred to the new register. Whilst the overall picture for Wirral is positive, the Panel is concerned that in areas with higher levels of deprivation and people living in rented accommodation, the transfer to IER will require significantly more work. This review also shows that these areas also have more people that do not registered to vote. This emphasises the need for the Council to take a targeted approach with the additional resources available.

Whilst the accuracy of Wirral's electoral register has traditionally been above the national average, the IER process provides us with a unique opportunity to encourage those not on the register, particularly young people, to get themselves registered so they can vote at future elections.

### Panel Membership

Councillor Jean Stapleton (Chair)



Councillor Moira McLaughlin



Councillor Denise Roberts



Councillor Steve Williams



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***This Report was produced by the IER Scrutiny Review Panel  
(which reports to the Policy & Performance Coordinating Committee)***

## Appendix 1:

## Scope Document

Date: 14<sup>th</sup> October 2013

### Review Title: Individual Electoral Registration

<p><b>Scrutiny Panel Chair:</b></p> <p>Cllr Jean Stapleton (Chair), 0151 201 5057, <a href="mailto:jeanstapleton@wirral.gov.uk">jeanstapleton@wirral.gov.uk</a></p>
<p><b>Panel members:</b></p> <p>Cllr Moira McLaughlin, 0151 644 8234, <a href="mailto:moiramclaughlin@wirral.gov.uk">moiramclaughlin@wirral.gov.uk</a> Cllr Denise Roberts, 0151 652 3309, <a href="mailto:deniseroberts@wirral.gov.uk">deniseroberts@wirral.gov.uk</a> Cllr Steve Williams, 0151 677 8848, <a href="mailto:stevewilliams@wirral.gov.uk">stevewilliams@wirral.gov.uk</a></p>
<p><b>Scrutiny Officer(s):</b></p> <p>Mike Callon, 0151 691 8379, <a href="mailto:michaelcallon@wirral.gov.uk">michaelcallon@wirral.gov.uk</a></p>
<p><b>Departmental Link Officers:</b></p> <p>Surjit Tour, 0151 691 8569, <a href="mailto:surjittour@wirral.gov.uk">surjittour@wirral.gov.uk</a> Kate Robinson, 0151 691 8511, <a href="mailto:katerobinson@wirral.gov.uk">katerobinson@wirral.gov.uk</a></p>
<p><b>Other Key Officer contacts:</b></p> <p>Gareth Latham (Research and Information Officer), 0151 691 8030, <a href="mailto:garethlatham@wirral.gov.uk">garethlatham@wirral.gov.uk</a></p>
<p><b>2. What are the main issues?</b></p> <ul style="list-style-type: none"><li>• Wirral's progress in terms of IER preparation has been good in terms of implementing a new electoral management system, the results of the test data match with DWP and local data matching.</li><li>• Members of the Panel were concerned about the introduction of IER having a negative impact on voter registration.</li><li>• There are concerns about low registration among certain communities both geographically and in terms of specific sections of the community, particularly young people and people living in rented accommodation.</li><li>• At a time of austerity, there was concern about the cost of implementing IER and whether this can be met from existing resources assisted by modest allocations from the Cabinet Office.</li><li>• The government's increasingly strict stance on ICT security presents a risk to the implementation of on line registration.</li></ul>
<p><b>3. The Committee's overall aim/objective in doing this work is:</b></p> <ul style="list-style-type: none"><li>• For the Panel to be satisfied there are robust arrangements in place for the implementation of IER.</li><li>• To have a good understanding of the potential issues and problems in implementing this new system.</li><li>• That Wirral is not financially disadvantaged by implementing IER.</li><li>• That all opportunities are taken to use IER as a vehicle to maximise registration.</li></ul>

<p><b>4. The possible outputs/outcomes are:</b></p> <ol style="list-style-type: none"> <li>1. Wirral benefits from a smooth transition to IER.</li> <li>2. That voter registration levels are not adversely affected by the shift to IER</li> </ol>	
<p><b>5. What specific value can scrutiny add to this topic?</b></p> <ol style="list-style-type: none"> <li>1. Scrutiny can provide assurance to the Council that preparations for the shift to IER and the implementation of this new approach are being effectively managed.</li> <li>2. Scrutiny can support effective communications to Members regarding the implementation of IER and the issues Members need to be aware of.</li> <li>3. Scrutiny can provide support in helping to promote electoral registration.</li> </ol>	
<p><b>6. Who will the Committee be trying to influence as part of its work?</b></p> <ul style="list-style-type: none"> <li>• Elected Member</li> <li>• The General Public</li> <li>• Specific groups that might be able to support the Council's engagement strategy</li> </ul>	
<p><b>7. Duration of enquiry?</b></p> <p>This is considered to be a short review to assess the Council's readiness for implementation. It has been suggested that a further review of implementation is scheduled at a suitable milestone in the implementation plan.</p>	
<p><b>8. What category does the review fall into?</b></p> <p>Horizon scanning – this review is intended to inform and add value to the local implementation of a nationally delivered government policy.</p>	
<p><b>9. Extra resources needed? Would the investigation benefit from the co-operation of an expert witness?</b></p> <p>None identified at this stage.</p>	
<p><b>10. What information do we need?</b></p>	
<p><b>10.1 Secondary information (background information, existing reports, legislation, central government documents, etc).</b></p> <ul style="list-style-type: none"> <li>• Project plans &amp; briefing papers distributed by Cabinet Office</li> <li>• Results of national pilot</li> <li>• Local census data to understand local population profiles.</li> </ul>	<p><b>10.2 Primary/new evidence/information</b></p> <ul style="list-style-type: none"> <li>• Analysis of dry run data match results against local population profiles</li> <li>• The Council's Strategy for targeted engagement to address under-registration amongst specific communities.</li> </ul>
<p><b>10.3 Who can provide us with further relevant evidence? (Cabinet portfolio holder, officer, service user, general public, expert witness, etc). council officers to include:</b></p> <ul style="list-style-type: none"> <li>• The Head of Legal &amp; Member Services</li> </ul>	<p><b>10.4 What specific areas do we want them to cover when they give evidence?</b></p> <ul style="list-style-type: none"> <li>• Officers to provide a more detailed analysis of those communities (geographical and</li> </ul>

<ul style="list-style-type: none"> <li>Officers from Electoral Services and the Policy Unit.</li> </ul>	<p>thematic) were registration is lower.</p> <ul style="list-style-type: none"> <li>Officers to set out the proposed strategy for maximising engagement and registration (with particular reference to those communities).</li> <li>Officers to provide a budget forecast of the financial impact of IER and whether this can be achieved from within existing resources assisted by the additional allocations from Cabinet Office for 2013/14, 2014/15, 2015/16.</li> </ul>
<p><b>11. What processes can we use to feed into the review? (site visits/observations, face-to-face questioning, telephone survey, written questionnaire, etc).</b></p> <p>None identified at this stage.</p>	
<p><b>12. In what ways can we involve the public and at what stages? (consider whole range of consultative mechanisms, local committees and local ward mechanisms).</b></p> <p>None identified at this stage.</p>	

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## WIRRAL COUNCIL

### CABINET

13<sup>TH</sup> MARCH 2014

<b>SUBJECT:</b>	<b>ADMISSION ARRANGEMENTS FOR COMMUNITY AND VOLUNTARY CONTROLLED PRIMARY AND SECONDARY SCHOOLS AND COORDINATED SCHEME FOR 2015-2016</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>DIRECTOR OF CHILDRENS SERVICES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>COUNCILLOR TONY SMITH</b>
<b>KEY DECISION?</b>	YES

#### 1.0 EXECUTIVE SUMMARY

- 1.1 This report invites the Cabinet to determine the Authority's admission arrangements for community and voluntary controlled primary and secondary schools and the coordinated schemes for 2015-2016. This is a statutory requirement.

#### 2.0 BACKGROUND AND KEY ISSUES

- 2.1 The Authority is required to determine admission arrangements for community and voluntary controlled primary and secondary schools. The New School Admissions (England) Regulations (2003) also require the Authority to have in place a coordinated scheme for admissions to all primary and secondary schools including Academy schools, in 2015-16. The proposed schemes are attached (Appendices 1 and 2), along with proposed admission numbers for community and controlled schools (Appendix 3).
- 2.2 No responses to the consultation were received.

#### 3.0 RELEVANT RISKS

- 3.1 It should be noted that the relevant co-ordinated schemes and the Fair Access Protocol apply to all Wirral primary and secondary schools, including Academy school. To date, two Wirral community primary schools have expressed an interest in becoming an Academy, and a Voluntary Aided primary school has already made the conversion to Academy status. This additional emphasis on the importance of school governing bodies to understand and apply the Admissions Code, Wirral co-ordinated scheme and FAP correctly and fairly, otherwise schools will be open to challenge both at parental appeal and by the School's Adjudicator and/or Secretary of State.
- 3.2 Failure to determine the admission arrangements by April of the preceding year would contravene the 2012 Admissions Code and associated guidance.

#### 4.0 OTHER OPTIONS CONSIDERED

- 4.1 None.

## **5.0 CONSULTATION**

5.1 Consultation on the co-ordinated scheme has taken place with all Wirral schools, other relevant admission authorities and all statutory consultees.

## **6.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

6.1 None.

## **7.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

7.1 The Fair Access Protocol requires a Local Authority Clerk to organise Fair Access Panels, prepare paperwork and disseminate Panel decisions to parents and schools. It is expected that the cost of this will be met from the Admissions budget which is part of the overall Schools budget.

## **8.0 LEGAL IMPLICATIONS**

8.1 The arrangements comply with all statutory guidance.

## **9.0 EQUALITIES IMPLICATIONS**

9.1 Has the potential impact of your proposal(s) been reviewed with regard to equality?

(a) Yes and impact review will be published on the web site, hyperlink below.

<http://www.wirral.gov.uk/my-services/community-and-living/equality-diversity-cohesion/equality-impact-assessments/eias-2010/children-young-people>

## **10.0 CARBON REDUCTION IMPLICATIONS**

10.1 None.

## **11.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

11.1 None.

## **12.0 RECOMMENDATION/S**

12.1 That Cabinet agree the proposed admission arrangements for community and voluntary controlled schools and the Wirral co-ordinated schemes for 2015-2016.

## **13.0 REASON/S FOR RECOMMENDATION/S**

13.1 There is a statutory requirement to determine admission arrangements.

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## **APPENDICES**

*Appendix 1 – Scheme for the coordination of admission arrangements for primary schools 2015-2016*

*Appendix 2 – Scheme for the coordination of admission arrangements for secondary schools 2015-2016*



**REFERENCE MATERIAL***School Admissions Code 2012**School Appeals Code 2012***SUBJECT HISTORY (last 3 years)**

<b>Council Meeting</b>	<b>Date</b>
<b>Delegated Authority</b>	<b>7<sup>th</sup> November 2013</b>
<b>Cabinet</b>	<b>14<sup>th</sup> March 2013</b>
<b>Delegated Authority</b>	<b>7<sup>th</sup> November 2012</b>
<b>Cabinet</b>	<b>12<sup>th</sup> April 2012</b>
<b>Cabinet</b>	<b>8<sup>th</sup> December 2011</b>
<b>Cabinet</b>	<b>14<sup>th</sup> April 2011</b>

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**SCHEME FOR THE CO-ORDINATION OF ADMISSION ARRANGEMENTS  
FOR MAINTAINED PRIMARY SCHOOLS IN THE WIRRAL AREA  
FOR THE ACADEMIC YEAR 2015-2016**

This scheme fulfils the requirements for a scheme for co-ordinating admission arrangements under the School Admission (Co-ordination of Admissions Arrangements) (England) Regulations 2008, made under the School Standards and Framework Act 1998, for the area of Wirral Council. It builds on the well established co-ordination of primary school admissions that have been a longstanding feature of local practice.

The scheme applies to arrangements whereby children are to be admitted to primary schools in the academic year 2015/16 and for subsequent years, subject to any review.

The co-ordinated scheme applies to all schools, excluding special schools, maintained by Wirral Council ("the Council") and to preferences expressed by Wirral resident parents and carers for schools maintained by other English local authorities (LA), academies and free schools. Admissions to other schools with independent status are not be covered by this scheme.

**1.0 Applications for school places for admission into Foundation 2 – the normal admission round**

1.1 Wirral Council will act as the co-ordinating authority for all applications. Offers will be made by the Council, in its role as the home authority, on behalf of the admissions authority for the school allocated as follows:

<b>Admissions Authority</b>	<b>Category of School</b>
Wirral Council	All Wirral community and voluntary controlled schools
Governing body of school	All Voluntary Aided, Foundation, Trust and Academy schools
Maintaining Local Authority	Non-Wirral community and voluntary controlled schools

1.2 The admission arrangements for schools maintained by Wirral Council are published on the Council's website and in its information booklets, in line with the requirements

set out in the School Admissions Code (2012). The Council's information booklets will be available electronically on the Council's website from 1 September. Hard copies will be obtainable by request from the Council from the start of the autumn term. Admissions arrangements are also available from each school on request.

- 1.3 All parents who live in the area administered by Wirral Council must apply for places in maintained and Academy primary schools either in Wirral or in the area of another Local Authority by completing a Wirral Parental Preference application. On-line applications are recommended and are made through the Council's website: [www.wirral.gov.uk/schooladmissions](http://www.wirral.gov.uk/schooladmissions). Parents who are unable to access the online admission system can request a paper application form from Wirral Council from the start of the autumn term.

The application (online or paper) provides an opportunity for the parent to:

- apply for up to 3 schools
- rank the schools applied for in order of preference

- 1.4 Applications for all schools, including Foundation, Trust, Academy and Voluntary Aided schools must be included on the application.

- 1.5 Applications for places sent direct by parents and carers to individual schools cannot be accepted and must be sent to the Council for inclusion within these arrangements.

- 1.6 Parents must return online and paper applications to Wirral Council by 15th January to ensure the allocation of a school place on 16<sup>th</sup> April or next working day (the National Offer date). Applications received after the published deadline of 15th January will be dealt with once the offer of places has been sent to parents on 16<sup>th</sup> April or next working day.

- 1.7 Parents can apply for school places only from the 1st September preceding admission to Foundation 2, that is, at the beginning of the academic year in which their child's 4<sup>th</sup> birthday falls. Children are normally admitted to school at the beginning of the academic year in which their 5<sup>th</sup> birthday falls.

- 1.8 **Deferred entry and part-time places.** Parents can request deferred entry or part-time attendance up until their child reaches compulsory school age (the term following their 5<sup>th</sup> birthday). The request must be made in writing to the Local Authority.

<b>Child's age 5 birthdate between</b>	<b>First term of compulsory education</b>
1 <sup>st</sup> January and 31 <sup>st</sup> March	Summer term (April)
1 <sup>st</sup> April and 31 <sup>st</sup> August	Autumn term (September)
1 <sup>st</sup> September and 31 <sup>st</sup> December	Spring term (January)

Parents should note that if a summer born child delays entry to the September after their fifth birthday, the child will ordinarily be expected to enter Year 1, not Foundation 2.

Parents of children born between 1<sup>st</sup> April and 31<sup>st</sup> August who wish to delay their child's entry to September, but are intending to request their child enters Foundation 2 rather than Year 1 are advised to apply as usual and to contact Wirral Council prior to 15<sup>th</sup> January to discuss options. These requests will be considered on the circumstances of each individual case and will require agreement from the allocated school.

1.9 **Applications from separated parents.** Only one application can be processed for each child; therefore it is important that both parties in shared custody arrangements are in agreement over the preferred school(s) named. Where a child spends equal time with both parents, the child's main residence should be submitted as their home address. If agreement cannot be reached, or if neither parent has been granted a Specific Issues Order in this respect, then the Council will accept the application from the parent with whom the child is "ordinarily resident".

1.10 **Changes of address.** Parents and carers must inform the Council immediately of a change of address, even if details of a future change of residency were included on the application form. The Council will require supporting evidence to show that the place of residency has changed; e.g. a letter from the solicitor confirming the completion date; a signed rental agreement showing the start of the tenancy and its duration. In addition further information may be requested – for example, copies of council tax and utility bills or any other information considered relevant to the application, including evidence of disposal of previous property. Information and supporting evidence must be received by 28th February. Proof of residency received after 15<sup>th</sup> January will not be used to assign a higher criterion for admission, but will be used to send the decision letter on the published offer date.

- 1.11 **Home address.** This must be the child's permanent home address where he/she lives with a person of parental responsibility as the main carer as defined by the Children Act 1989. Applicants must not give the address of a business, relative, childminder, friend, a temporary address or an address to which they hope to move. The home address must not be where parents have taken out a short term let on a property solely to use it's address on the application form without any intention of taking up permanent residence there. The Council will require proof of residence which may include proof of sale of a previous property. Wirral Council regularly check addresses and any deliberate misrepresentation will result in a place being withdrawn. The Council acts on behalf of all Wirral admission authorities and reserves the right to request independent confirmation of the child's place of residence, as felt appropriate. The Mainstream Admissions team may have to share the information provided with other departments of the Council in order to verify the authenticity of pupil's addresses.
- 1.12 **Withdrawal of places.** The Council has the right to withdraw any place offered on the basis of a fraudulent or intentionally misleading application.

## **2.0 Dealing with Applications**

- 2.1 The Council's admissions criteria will be applied to rank the order of priority of each application for community schools and voluntary controlled schools.
- 2.2 The Council will provide Academy and Voluntary Aided Schools with details of those preference forms which include an application for their school by 16<sup>th</sup> February.
- 2.3 Preference ranking will not be shared with school admission authorities in accordance with paragraph 1.9 of the School Admissions Code 2012 as this cannot lawfully be used when applying oversubscription criteria.
- 2.4 The Governing Bodies of Academy and Voluntary Aided schools will rank each application by applying the school's admission criteria and notify the Mainstream Admissions team of their ranking by 28th February.
- 2.5 Where a pupil is eligible to receive an offer of two or more school places then the Council will allocate the highest priority preference.

2.6 The Mainstream Admissions team will notify the Governing Bodies of Academy and Voluntary Aided primary schools of those pupils who will be allocated places at their school by 9<sup>th</sup> April.

2.7 In March the Council will inform other Local Authorities of any pupils who are not resident in Wirral and to whom the Council can offer places at Wirral schools.

### **3.0 Determination of applications for Community and Voluntary Controlled schools**

3.1 **Allocation of places.** Applications for all Community schools and also for Bidston Village Church of England (CE) Primary School, Holy Trinity CE Primary School (Hoylake), Millfields CE Primary School and St Bridget's CE Primary School (West Kirby) will be determined on the following basis:

3.1.1 All children who have applied before 15<sup>th</sup> January will be eligible for a place so long as there is space within the school's admission number. If there are more applications than there are places available, then eligibility will be determined in accordance with the following scheme of priorities:

- Children in care, and children who were in care but have been adopted or are subject to a residency order or special guardianship order ("previously in care")
- Then children who live in the school's catchment zone in the following priority order:
  - Children who already have older brothers or sisters (including half or step siblings living in the same household) at the school when they are due to start school. If there are more children with older brothers or sisters at the school than there are places available, we will give priority to children with the youngest brothers or sisters at the school. We will also treat a brother or sister at a corresponding junior school as a sibling. Where there is more than one applicant with a sibling in the same year group, priority will be given to those children who live nearest to the school. We measure distances from home to the school gate nearest to the child's home using the shortest road route, unless it is possible to use a footpath which we consider to be a safe walking route, using the Council's computerised Ordnance Survey Address Point based routing system.

- Children who have recently experienced a traumatic family or domestic event or for whom there are clear medical grounds to support placement in a particular school. A letter in support from a health care professional will be required as evidence.
- Children who live nearest to the school. We measure distances from home to the school gate nearest to the child's home using the shortest road route, unless it is possible to use a footpath which we consider to be a safe walking route, using the Council's computerised Ordnance Survey Address Point based routing system.

3.1.2 If places remain available, eligibility for children who do not live in the school's catchment area will be determined in accordance with the following scheme of priorities.

- Children who already have older brothers or sisters (including half or step-brothers and sisters living in the same household) at the school when they are due to start school. If there are more children with older brothers or sisters at the school than there are places available, we will give priority to children with the youngest brothers or sisters at the school. We will also treat a brother or sister at a corresponding junior school as a sibling. Where there is more than one applicant with a sibling in the same year group, priority will be given to those children who live nearest to the school. We measure distances from home to the school gate nearest to the child's home using the shortest road route, unless it is possible to use a footpath which we consider to be a safe walking route, using the Council's computerised Ordnance Survey Address Point based routing system.
- Children who have recently experienced a traumatic family or domestic event or for whom there are clear medical grounds to support placement in a particular school. A letter in support from a health care professional will be required as evidence.
- Pupils who live nearest to the school. We measure distances from home to the school gate nearest to the child's home using the shortest road route, unless it is possible to use a footpath which we consider to be a safe walking route, using the Council's computerised Ordnance Survey Address Point based routing system.



- 3.1.3 If places remain available at the school after all “on time” applicants have been allocated, places will then be allocated to late applications received after 15<sup>th</sup> January in date order of receipt up to the school’s admission number. See paragraph 5.0 below.
- 3.2 Christ Church CE Primary School in Birkenhead shares part of its catchment zone with two other schools - Woodchurch Road Primary School and Woodlands Primary School. We give priority as detailed above in 3.1.1- 3.1.3.
- 3.3 **Aided schools and Academies.** Applications for Academy schools and the Catholic and Church of England voluntary aided schools will be determined by the governing bodies of these schools in accordance with their published admission criteria.
- 3.4 **Mandatory Allocation.** Where it is not possible to allocate a place at any of the schools applied for, children resident in Wirral will be allocated a place at the nearest appropriate Wirral school where there are places available. “Appropriate “ means community school if the parents’ preferences indicate preferences for non-denominational education; or a Catholic school or Church of England school if the parents indicated a preference for education in a school of that denomination. The nearest school will be measured on shortest walking distance using the Council’s computerised Ordnance Survey Address Point based routing system.
- 3.5 **Special Needs.** All schools will be required to admit a pupil with a Statement of Special Educational Needs naming the school.

#### **4.0 Offer of Places**

- 4.1 Parents and carers resident in Wirral who have made an online application will be informed by the Director of Children’s Services of the school allocated by e-mail on 16<sup>th</sup> April or next working day, if a valid e-mail address has been provided. The e-mail will also inform the parent of their legal right to appeal to an independent panel and who to contact to make an appeal.
- 4.2 Parents and carers resident in Wirral who have submitted a paper application will be informed by the Director of Children’s Services of the school allocated in writing. Letters will be despatched on 16<sup>th</sup> April or next working day, and will be sent by second class post. The letter will also inform the parent of their legal right to appeal to an independent panel and who to contact to make an appeal.

4.3 If places become available before the start of the autumn term, the Council will allocate them to children whose parents have either lodged an appeal but not been successful or who have expressed a continuing interest in a place at the school concerned. Parents can do this by e-mail or by returning the reply slip attached to the allocation letter. If there are more children interested in a particular school than places available, the Council will use the same criteria to determine priorities as is used for the initial allocation.

4.4 All offers of places for schools covered by the Wirral scheme will be issued by the Council.

## **5.0 Late applications**

5.1 Applications received after the published deadline of 15th January will be dealt with after the offer of places have been sent to parents on 16<sup>th</sup> April or next working day. Wirral Council will send details of late applications for Academy and Voluntary Aided schools to the governors of the schools concerned by 23<sup>rd</sup> April or, for applications received after that date, within five days of receipt.

5.2 Preferences for community and voluntary controlled schools will be dealt with in the date order they are received by the Council. The Council will allocate places up to the school's admission number. If several applications are received on the same day for the same school, the scheme of priorities given in 3.1.1 and 3.1.2 above will be used.

5.3 Parents will be notified in writing by Wirral Council. The letter will also inform the parent of their legal right to appeal for any Wirral school and who to contact to make an appeal. Parents should, where possible, lodge an appeal within 20 working days of receipt of notification of the outcome of their application.

5.4 Applications for Catholic or Church of England Aided Primary Schools and the Academy received after the published deadline of 15th January will be determined by reference to the schools' published admission arrangements and the governors will inform Wirral Council of the outcome of the applications. Parents will be notified in writing by Wirral Council. The letter will also inform the parent of their legal right to appeal and who to contact to make an appeal. Parents should, where possible, lodge an appeal within 20 working days of receipt of notification of the outcome of their application.

5.5 Parents and carers must accept or decline the offer of a late place within 10 working days of the offer date.

## **6.0 Waiting Lists**

- 6.1 If at the end of the Summer Term a school is believed to be full, the Council will close the procedures and make no more reallocations. However, it may be that places will become available at the beginning of or during the Autumn Term. The Council will keep a waiting list of children whose parents are interested in obtaining a place at the school if a place becomes available. In August, the Council will write to the parents of those children included in paragraph 4.3 who have expressed a continuing interest. This waiting list will be held open during the Autumn Term. Priority on the waiting list for community and controlled schools will be given to children in accordance with the criteria given in paragraphs 3.1.1 and 3.1.2. Each added child requires the waiting list to be ranked again in line with the published admission criteria.
- 6.2 The Council will contact parents directly if a vacancy does occur. Schools must not notify parents that a place has become available but must inform the Council in order that an offer can be made by the home Local Authority. The Council will cease to hold the Foundation 2 waiting list at the end of the Autumn Term.

## **7.0 In Year applications outside the normal round of admissions**

- 7.1 'In year' applications are those made during the school year into any year group, other than at the normal point of entry (i.e. the normal admission round). This will include applications from parents and carers of children moving into Wirral from another Local Authority area, moving within Wirral, or seeking to transfer to an alternative school for other reasons.
- 7.2 Applications for all schools including Academy and Voluntary Aided schools must be made on a common Primary School Transfer Form. Parents/carers seeking places 'in year' will be advised to complete their 'home' Local Authority's common application form stating up to three school preferences ranked in priority order.
- 7.3 Schools should not deal with transfer application forms. Any forms received by schools should be forwarded to the Mainstream Admissions team in the Children and Young People's Department.
- 7.4 Upon receipt of a transfer request Mainstream Admissions staff will establish whether or not the parent has discussed the request with the headteacher of the pupil's current school. If this is not the case, parents will be advised to contact the headteacher to discuss their request.

7.5 If the parents have discussed the request with the headteacher, the transfer request form will be acknowledged and parents informed that the Mainstream Admissions team will forward the documentation to their current and preferred school(s). Requests for transfer in Y6 other than moves from outside Wirral will be discouraged on educational grounds, but parents have the ultimate right to proceed with the request.

7.6 The Council will arrange for children in Years 1 and 2 to start at a community or voluntary controlled primary school in a similar way as Foundation 2 (Reception) age children. The appropriate year group is determined by the chronological age of the child.

**Key Stage 1** – The Council will offer children places at their catchment school as long as this will not bring the class size to more than 30, and if the Council cannot offer an alternative school place within two miles of the parents home address.

The Council will agree a place in an out-of-zone school as long as:

- i) there is room within the admission number; and
- ii) there are not already 30 children in the class.

Where a school, which is below its admission number, has organised its Key Stage 1 into classes of 30 and the only way to admit another child would require the admission authority to take Qualifying Measures (that is, it would require the school to provide additional resources in terms of staff and accommodation), these are grounds on which the Council or other admission authority may refuse an application.

**Key Stage 2** – Children are automatically entitled to a place at their catchment school even though the school may be on or above its admission number.

The Council will agree a place in an out-of-zone school as long as there is room within the admission number.

#### 7.7 **Infant Class Size limit exceptions**

There are a limited number of exceptions to the Infant Class Size limit of 30. These children remain an excepted pupil for the time they are in an infant class, or until the class numbers fall back to the infant class size limit. They are:

- Children with statements of special educational need (SEN) admitted outside the normal admission round

- Looked after children and previously looked after children
- Children admitted because of a procedural error made by any admission authority in the original application process
- Children admitted following an appeal upheld by an independent appeals panel
- Children who move into a catchment area outside the normal admission round for whom there is no other school place within a shortest walking distance of 2 miles
- Children of UK service personnel admitted outside the normal admission round who move into a catchment area
- Twins and children from multiple births when one of the siblings is the 30<sup>th</sup> child admitted
- Children with SEN who are normally taught in an SEN unit attached to the school or who are registered with a special school, but attend some infant classes within a mainstream school

7.7 **Children of UK service personnel.** Places for these children will be allocated in advance if accompanied by an official letter with a relocation date and Unit postal address or quartering area address.

7.8 **Overseas applications.** Parents who have already moved to the UK from overseas who are British or European Economic Area nationals, or who have an endorsed passport showing right of abode, can apply for places for their child at any school covered by this scheme. The Council may ask to see passports for verification.

Parents or children in these categories who do not yet live in the UK can apply before the date they move to the UK. However, the address to be used in the allocation will be the address that the child is living at on the closing date, unless a subsequent house move has been accepted up to the last date for changes in the coordinated scheme. A UK address will only be used once the child is residing at that address, and evidence will be required of this, as in paragraph 1.10 of this document.

7.9 **Waiting Lists.** The Council will not keep waiting lists for places in Year 1 and above. Parents may wish to contact schools directly to establish whether there is space in their child's year group prior to completing an inyear transfer request form. The

Council will confirm the availability of a place with the school before issuing a formal offer of a place. Schools must not offer places to parents.

- 7.10 The Council will provide Voluntary Aided Schools and the Academy with copies of those application forms which include a preference for their school.
- 7.11 The Governing Bodies of Voluntary Aided schools and the Academy will consider each application by applying the school's admission criteria and notify the Council of their decision within 5 days of receipt of the application.
- 7.12 Where a pupil is eligible to receive an offer of two or more school places then the parent's highest priority eligible preference will take precedence.
- 7.13 All parents will be informed by the Council of the school place allocated by letter. The letter will also inform the parent of their legal right to appeal and who to contact to make an appeal. Parents should, wherever possible, make an appeal within 20 working days of receipt of the letter notifying them of the outcome of their application.
- 7.14 If the relevant body is refusing admission the Council will write to the parent advising them that the application has been refused and informing the parent of the legal right to appeal against the decision. Where a house move from outside the area or within Wirral is the reason for requesting an in year transfer and none of the preferred schools are able to offer a place, the Council will, where possible, indicate on the refusal letter the nearest appropriate school with vacancies at the time of application, where "nearest" uses the shortest walking distance from the Council's computerised Ordnance Survey Address Point based routing system. The letter will also inform the parent of their legal right to appeal and who to contact to make an appeal. Parents should, wherever possible, make an appeal within 20 working days of receipt of the letter notifying them of the outcome of their application.

## **8.0 Pupils transferring from Infant to Junior Schools**

- 8.1 All children who are on roll at one of the Infant Schools listed below at the time of transfer from Year 2 to Year 3 are eligible to transfer to the linked junior even if they do not live in the school's catchment area. Children who live in the catchment area of the Junior School are also eligible.

Black Horse Hill Infant School to Black Horse Hill Junior School

Brackenwood Infant School to Brackenwood Junior School

Greasby Infant School to Greasby Junior School

Overchurch Infant School to Overchurch Junior School

Town Lane Infant School to Higher Bebington Junior school

8.2 Admissions to St John's Junior School are detailed by the governing body in accordance with the school's admission arrangements.

## **9.0 The Fair Access Protocol**

9.1 All requests for in-year places will be considered with reference to the Council's current admission arrangements and procedures for in year placements.

9.2 All schools will take part in the Fair Access Protocol, which is published separately. Schools must respond immediately to requests for admission to school according to the timescales above so that admission of the pupil is not unduly delayed.

9.3 Children who are looked after and previously looked after, and children with a Statement of Special Educational Needs naming the school are NOT included in the Fair Access protocol. These children MUST be placed in the school of their carer's preference irrespective of the availability of places in the year group.

9.4 **Permanent Exclusions.** For pupils who are at risk of permanent exclusion and on the roll of a Wirral school it is open to the headteacher to refer the child to Gilbrook Outreach Service or to consider a Managed Move. All such placements will be initially on a trial basis for a minimum of six weeks. Confirmation of placement or the school roll will be subject to a satisfactory report.

9.5 Pupils who have been permanently excluded will normally be placed on the roll of Gilbrook School or Emslie Morgan School (formerly Wirral Alternative School Provision). Schools should contact the Exclusions Officer as soon as the exclusion has taken place. The Exclusions Officer will consider whether the pupil can be transferred immediately to an alternative primary school. Such transfers will be agreed with the parent and relevant headteacher. All primary schools will take a minimum number of 1, or the number of permanent exclusions in the previous academic year, as the agreed quota of permanently excluded pupils for placement.

9.6 The transfer to a school will be monitored at the Wirral Excluded Pupils Monitoring Panel (WEMP) or equivalent group.

9.7 **Negotiated transfers.** For children who are not at risk of permanent exclusion, but where there are concerns about behaviour or attendance, it is open to schools to consider a negotiated transfer. This is covered within the Fair Access protocol. All

such placements will initially be on a trial basis for a minimum of six weeks. Confirmation of placement on the school roll will be subject to a satisfactory report.

- 9.8 Parents retain their legal right to an appeal for a place at any school of their preference. This right is not affected by the decision of the Fair Access Panel.



<b>Admissions Authorities in Wirral</b>
<b>Wirral Council</b>
<b>Community Primary Schools (57)</b>
<b>Voluntary Controlled Primary Schools (5)</b>
<b>The Governing Bodies of:</b>
<b>Academy Schools</b>
Birkenhead High School Academy for Girls (Junior)
Mount Primary School*
Our Lady of Pity Catholic Primary School
Townfield Primary School*
<b>Church of England Aided Primary Schools</b>
Christ Church (Moreton) CE Primary School
Dawpool CE Primary School
St Andrew's CE Primary School
St Peter's CE Primary School
St Saviour's CE Primary School
The Priory CE Primary School
Woodchurch CE Primary School
<b>Catholic Aided Primary Schools</b>
Christ The King Catholic Primary School
Holy Cross Catholic Primary School
Ladymount Catholic Primary School
Our Lady and St Edwards Catholic Primary School
Sacred Heart Catholic Primary School

St Alban's Catholic Primary School
St Anne's Catholic Primary School
St John's Catholic Infant School
St John's Catholic Junior School
St Joseph's (Birkenhead) Catholic Primary School
St Joseph's (Upton) Catholic Primary School
St Joseph's (Wallasey) Catholic Primary School
St Michael and All Angels Catholic Primary School
St Paul's Catholic Primary School
St Peter & St Paul Catholic Primary School
St Peter's Catholic Primary School
St Werburgh's Catholic Primary School
<b>Joint Denominational Aided Primary Schools</b>
Holy Spirit Catholic and CE Primary School

A full list and map is provided in the Council's information booklets for parents, available on-line at [www.wirral.gov.uk/schooladmissions](http://www.wirral.gov.uk/schooladmissions).

\* Status subject to confirmation at time of publication.

**PROPOSED ADMISSION NUMBERS FOR 2015-16**  
**WIRRAL COMMUNITY AND VOLUNTARY CONTROLLED**  
**PRIMARY SCHOOLS**

<b>SCHOOL</b>	<b>ADMISSION NUMBER</b> <b>2015 – 2016</b>
Barnston Primary	45
Bedford Drive Primary	60
Bidston Avenue Primary	60
Black Horse Hill Infant	60
Black Horse Hill Junior	60
Bidston Village CE Primary School	50
Brackenwood Infant	60
Brackenwood Junior	60
Brookdale Primary	30
Brookhurst Primary	30
Castleway Primary	30
Cathcart Street Primary	30
Christchurch CE Primary (B)*	34
Church Drive Primary	44
Devonshire Park Primary	60
Eastway Primary	36
Egremont Primary	60
Fender Primary	30
Gayton Primary	30

SCHOOL	ADMISSION NUMBER 2015 – 2016
Greasby Infant	60
Greasby Junior	60
Great Meols Primary	60
Greenleas Primary	46
Grove Street Primary	55
Heswall Primary	30
Heygarth Primary	45
Higher Bebington Junior	85
Hillside Primary	30
Hoylake Holy Trinity CE Primary	37
Irby Primary	30
Kingsway Primary	25
Leasowe Primary	30
Lingham Primary	54
Liscard Primary	90
Manor Primary	30
Mendell Primary	30
Mersey Park Primary	60
Millfields CE Primary	30
Mount Primary*	48
New Brighton Primary	90
Overchurch Infant	90
Overchurch Junior	94

SCHOOL	ADMISSION NUMBER
	2015 – 2016
Park Primary School	50
Pensby Primary	30
Portland Primary	30
Poulton Lancelyn Primary	60
Prenton Primary	60
Raeburn Primary	60
Riverside Primary	43
Rock Ferry Primary	47
Sandbrook Primary	30
Somerville Primary	75
St. Bridget's CE Primary	60
St. George's Primary	110
Stanton Road Primary	45
Thingwall Primary	30
Thornton Hough Primary	25
Town Lane Infant	74
Townfield Primary*	60
Well Lane Primary	30
West Kirby Primary	40
Woodchurch Road Primary	71
Woodlands Primary	44
Woodslee Primary	46

\*Note that the status of these (and potentially other) primary schools is subject to change at time of determination. These tables will be updated accordingly should this occur.

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**SCHEME FOR THE CO-ORDINATION OF ADMISSION ARRANGEMENTS  
FOR MAINTAINED SECONDARY SCHOOLS IN THE WIRRAL AREA  
FOR THE ACADEMIC YEAR 2015-2016**

This scheme fulfils the requirements for a scheme for co-ordinating admission arrangements under the School Admission (Co-ordination of Admissions Arrangements) (England) Regulations 2008, made under the School Standards and Framework Act 1998, for the area of Wirral Council. It builds on the well-established coordination of secondary school admissions that have been a longstanding feature of local practice.

The scheme applied for admissions to secondary schools in the academic year 2015/16 and for subsequent years, subject to any review.

The co-ordinated scheme applies to all schools, excluding special schools, maintained by Wirral Council ("the Council") and to preferences expressed by Wirral resident parents and carers for schools maintained by other English local authorities, academies and free schools. Admissions to other schools with independent status are not covered by this scheme.

**1.0 Applications for school places for admission into Year 7 - the normal admission round**

1.1 Wirral Council will act as the co-ordinating authority for all applications. Offers will be made by the Council, in its role as the home authority, on behalf of the admissions authority for the school allocated as follows:

<b>Admissions Authority</b>	<b>Category of School</b>
Wirral Council	All Wirral community and voluntary controlled schools
Governing body of school	All Voluntary Aided, Foundation, Trust and Academy schools
Maintaining Local Authority	Non-Wirral community and voluntary controlled schools

1.2 The admission arrangements for schools maintained by Wirral Council are published on the Council's website and in its information booklets, in line with the requirements set out in the School Admissions Code (2012). The Council's information booklets will

be available electronically on the Council's website from 1 September. Hard copies are obtainable by request from the Council at the start of the autumn term. Admissions arrangements are also available from each school on request.

- 1.3 All parents who live in the area administered by Wirral Council must apply for places in maintained secondary schools either in Wirral or in the area of another Local Authority by completing the Wirral Parental Preference application. On-line applications are recommended and are made through the Council's website: [www.wirral.gov.uk/schooladmissions](http://www.wirral.gov.uk/schooladmissions). Parents of Year 6 pupils who are unable to access the online admission system can request a paper application form from Wirral Council from the start of the autumn term.

The form (online or paper) provides an opportunity for the parent to:

- apply for up to 3 schools
- rank the schools applied for in order of preference

- 1.4 Applications for places sent direct by parents and carers to individual schools cannot be accepted and must be sent to the Council for inclusion within these arrangements.

- 1.5 Preference forms should be returned to Wirral Council by 31st October to ensure the allocation of a school place on 1<sup>st</sup> March or next working day (the National Offer date). Applications received after the published deadline of 31st October will be dealt with once the offer of places has been sent to parents on 1<sup>st</sup> March or next working day.

- 1.6 **Applications from separated parents.** Only one application can be processed for each child; therefore it is important that both parties in shared custody arrangements are in agreement over the preferred school(s) named. Where a child spends equal time with both parents, the child's main residence should be submitted as their home address. If agreement cannot be reached, or if neither parent has been granted a Specific Issues Order in this respect, then the Council will accept the application from the parent with whom the child is "ordinarily resident".

- 1.7. **Changes of address.** Parents and carers must inform the Council immediately of a change of address, even if details of a future change of residency were included on the application form. The Council will require supporting evidence to show that the place of residency has changed; e.g. a letter from the solicitor confirming the completion date; a signed rental agreement showing the start of the tenancy and its duration. In addition further information may be requested – for example, copies of council tax and utility bills or any other information considered relevant to the application, including evidence of disposal of previous property. Information and



supporting evidence must be received by 1st January. Proof of residency received after 31<sup>st</sup> October will not be used to assign a higher criterion for admission, but will be used to send the decision letter on the published offer date.

1.8 **Home address.** This must be the child's permanent home address where he/she lives with a person of parental responsibility as the main carer as defined by the Children Act 1989. Applicants must not give the address of a business, relative, childminder, friend, a temporary address or an address to which they hope to move. The home address must not be where parents have taken out a short term let on a property solely to use it's address on the application form without any intention of taking up permanent residence there. Wirral Council will require proof of residence which may include proof of sale of a previous property. Wirral Council regularly check addresses and any deliberate misrepresentation will result in a place being withdrawn. The Council acts on behalf of all Wirral admission authorities and reserves the right to request independent confirmation of the child's place of residence, as felt appropriate. The Mainstream Admissions team may have to share the information provided with other departments of the Council in order to verify the authenticity of pupil's addresses.

1.9 **Withdrawal of places.** The Authority has the right to withdraw any place offered on the basis of a fraudulent or intentionally misleading application.

## 2.0 Dealing with Applications

2.1 The Council's admissions criteria will be applied to rank the order of priority of each application for community schools.

2.2 The Council will provide Academy, Foundation, Trust and Voluntary Aided Schools with details of applicants for their school by 8<sup>th</sup> January. Details of preferences for a school place in the area of another Local Authority will be sent to that Authority along with any details and supporting evidence provided by the parent by 22<sup>nd</sup> November.

2.3 Preference ranking will not be shared with school admission authorities in accordance with paragraph 1.9 of the School Admissions Code 2012 as this cannot lawfully be used when applying oversubscription criteria.

2.4 The Governing Bodies of Academy, Foundation, Trust and Voluntary Aided schools will rank each application by applying the school's admission criteria and are required to notify the Mainstream Admissions team of their ranking by 16<sup>th</sup> January.

2.5 Where a pupil is eligible to receive an offer of two or more school places then the Council will allocate the highest priority preference.

- 2.6 The Mainstream Admissions team will notify the Governing Bodies of Wirral Academy, Foundation, Trust and Voluntary Aided schools of those pupils who will provisionally be allocated places at their school by 1<sup>st</sup> February.
- 2.7 When the Council receives from other Local Authorities details of their provisional allocation for Wirral children seeking places in schools maintained by them, the Council will then offer the highest preference if they are eligible for more than one school.
- 2.8 On 23rd February Wirral Council will inform schools and neighbouring Authorities of the final allocations. On-line applicants will receive an e-mail notification on 1<sup>st</sup> March (or next working day). Paper form applicants will receive a letter posted by second class post on 1st March (or next working day).

### **3.0 Determination of applications for Community schools**

- 3.1 Each secondary school has a published admission number. Places will be allocated up to but not beyond this number.
- 3.2 All children who have applied before 31<sup>st</sup> October will be eligible for a place so long as there is space within the school's admission number. If there are more applications than there are places available, then eligibility for community schools will be determined in accordance with the following scheme of priorities:
- Children in care, and children who were in care but have been adopted or are subject to a residency order or special guardianship order ("previously in care")
  - Pupils who have a medical reason for attending a particular school. A letter in support from a health care professional will be required as evidence.
  - Pupils who have a brother or sister of statutory school age (including half or step-brothers and sisters living in the same household) at the school when the pupil starts school. If there are more children with older brothers or sisters at the school than there are places available, we will give priority to children with the youngest brothers or sisters at the school.
  - Pupils who live nearest to the school. We measure distances from home to the school gate nearest to the child's home using the shortest road route, unless it is possible to use a footpath which we consider to be a safe walking route, using the Council's computerised Ordnance Survey Address Point based routing system.

- 3.3 If places remain available at the school after all “on time” applicants have been allocated, places will then be allocated to late applications received after 31<sup>st</sup> October in date order of receipt up to the school’s admission number.
- 3.4 **Multiple births.** For community schools, where the final place in a year group is offered to one of twins (or triplets etc.) it will be our policy to admit the other twin even if that means going above the admission number.
- 3.5 Applications for Academy, Foundation, Trust and Aided schools will be determined by the governing bodies of these schools in accordance with their published admission criteria.
- 3.6 **Mandatory Allocation.** Where it is not possible to allocate a place at any of the schools applied for, children resident in Wirral will be allocated a place at the nearest appropriate Wirral school where there are places available. “Appropriate “ means community school if the parents’ preferences indicate preferences for non-denominational education; or a Catholic school if the parents indicated a preference for education in a school of that denomination. The nearest school will be measured on shortest walking distance using the Council’s computerised Ordnance Survey Address Point based routing system.
- 3.7 **Special Needs.** All schools will be required to admit a pupil with a Statement of Special Educational Needs naming the school.

#### **4.0 Admission to Grammar Schools**

- 4.1 Admissions authorities for the grammar schools in Wirral will allocate places only to children who have achieved the required standard. If they are over subscribed with children who have achieved the standard, they will not be able to offer places to all; they will use other non-academic criteria to decide which children should be offered places.
- 4.2 **Request for Assessment.** Parents who wish their child to be assessed for non-Catholic grammar school education should inform Wirral Council by 31<sup>st</sup> May in Year 5 using the Request for Assessment form.
- 4.4 The Council administers the assessment arrangements for Calday Grange Grammar School, West Kirby Grammar School, Wirral Grammar School for Boys and Wirral Grammar School for Girls. The grammar schools have criteria to determine which children will be given places if more children achieve the standard than there are places available.
- 4.5 Parents who wish their children to be assessed for a place at Upton Hall School FCJ or St. Anselm’s College must follow the procedures for requesting an

assessment set out by those schools; those children will be assessed by the schools themselves.

- 4.6 **The selection tests.** The assessment is based on the results of two verbal reasoning tests that pupils take in September of Year 6. The test does not take into account what pupils have learnt at primary school. They have been designed to predict a pupil's potential performance at secondary school and so preparation for the verbal reasoning tests is not necessary. However, we will provide a familiarisation pack by 30<sup>th</sup> June to help children prepare for the tests. Two practice tests will also take place in September of Year 6 prior to the real tests.

To ensure that children are not disadvantaged because of their date of birth, in each case the score is changed by using conversion tables to take account of each child's exact age in years and months. The two test scores are then added together. Children who reach the required score will be deemed to have reached the grammar school standard.

- 4.7 **Referral to Independent Assessment Board (IAB).** In October the Mainstream Admissions team will inform primary school head teachers of their pupils scores and the required score for the grammar school standard. The Council will invite head teachers to make referrals to the IAB on behalf of any children whose test results do not, in their view, reflect the children's potential. Since there is a strong relationship between verbal reasoning scores and potential, these cases will be quite rare.

In some cases parents may feel that certain factors may have affected the child's academic performance (for example, if his or her education has been severely disrupted because of ill health, change of schools, or any other reason). If this does apply, it is important that parents should inform their child's headteacher, in writing, no later than 25th September. If the child's case is referred to the IAB, the IAB will consider the written information. The Council will also refer to the Board the cases of any pupils who have been given extra time in the tests because of a disability.

- 4.8 The Board will meet in October before results are sent out to parents, and is made up of four headteachers (two from primary schools, two from grammar schools) and is administered by an officer from the Children and Young People's Department. None of the Board will have any personal interest in any of the pupils they are asked to assess.

- 4.9 For each child whose case is referred, the Board will see:

- the child's verbal reasoning test scores and papers;

- the representations made by the primary school head teacher with supporting evidence if necessary;
- confidential information from parents and reports from other professional agencies such as educational psychologists, social workers, doctors and so on.

The Board then uses its professional judgement to decide whether the evidence clearly shows that the results of the verbal reasoning tests did not truly reflect the child's ability. The Board will decide in each case whether or not the child has reached the grammar school standard.

- 4.10 At the end of the process, the Council will have a list of the children who have reached the grammar school standard. This does not necessarily mean that they will go to a grammar school; that will depend on the number of preferences that we have for the grammar schools. If a grammar school is oversubscribed, the governors use other criteria to decide who should be given places.
- 4.11 The Council will send the outcome of the assessment tests and the IAB (where applicable) by e-mail to parents who have provided a valid e-mail address on their request for assessment form by 21<sup>st</sup> October. Postal notification will be despatched to all other parents on the same date as e-mails are sent out, by first class post.

## **5.0 Determination of applications for Foundation, Trust, Academy and Aided schools**

- 5.1 The governing bodies of Foundation, Trust, Academy and Aided schools publish their own admission arrangements which include the criteria which they will use to determine priorities if their school is oversubscribed.
- 5.2 **Special Educational Needs.** All schools will be required to admit a pupil with a Statement of special educational needs naming the school.

## **6.0 Offer of Places**

- 6.1 Where online applications have been received from parents resident in Wirral, the parent or carer making the online application will receive their offer by e-mail on 1<sup>st</sup> March (or next working day). Parents applying on a paper form will be informed in writing by second class post by the Director of Children's Services posted on 1st March (or next working day) of the school allocated to their child.
- 6.3 This will include the allocation of a place in a school of another Local Authority if the parent's application for a place there has been successful. The letter or e-mail will also inform parents of their legal right to appeal to an independent panel and who to contact to make an appeal. Parents should, wherever possible, make an appeal

within 20 working days of receipt of the letter or e-mail notifying them of the outcome of their application.

## **7.0 Late Applications**

- 7.1 Preferences which are received on or after 1st November will be dealt with after places have been allocated on 1st March (or next working day). At that point some schools may be full and no more places will be allocated at those schools. In the case of schools which have places available, places will be allocated up to the school's admission number in accordance with the arrangements described in paragraphs 3 and 5.
- 7.2 Late applications for grammar schools will require separate arrangements for testing.
- 7.3 Parents will be notified in writing by Wirral Council. The letter will also inform the parent of their legal right to appeal and who to contact to make an appeal. Parents should, wherever possible, make an appeal within 20 working days of receipt of the letter notifying them of the outcome of their application. Parents and carers must accept or decline the offer of a late place within 10 working days of the offer date.
- 7.4 If places become available before the start of the autumn term, the Council will re-allocate them up to the school's admission number. If there are more children interested in a particular school than places available, in the case of Community schools the Council will use the same criteria to determine priorities as is used for the initial allocation. In most cases the re-allocation will be made depending on where the children live. If this is the case, the Council will keep a list in order of those who will have priority because they live nearer the school in question.
- 7.5 If at the end of the Summer Term a school is believed to be full, the Council will close the procedures and make no more reallocations. However, it may be that places will become available at the beginning of or during the Autumn Term. The Council will keep a waiting list of children whose parents are interested in obtaining a place at the school if a place becomes available, following the same criteria as when places were first offered. The waiting list will be kept open until the last day of the autumn term.

## **8.0 In Year applications outside the normal round of admissions**

- 8.1 'In year' applications are those made during the school year into any year group, other than at the normal point of entry (i.e. the normal admission round). This will include applications from parents and carers of children moving into Wirral from another Local Authority area, moving within Wirral, or seeking to transfer to an alternative school for other reasons.

- 8.2 Applications for all schools including Academy, Foundation, Trust and Voluntary Aided schools must be made on a common Secondary School Transfer Form. Parents/carers seeking places 'in year' will be advised to complete their 'home' Local Authority's common application form stating up to three school preferences ranked in priority order.
- 8.3 Schools should not deal with transfer application forms. Any forms received by schools should be forwarded to the Mainstream Admissions team of Wirral Council. The Council coordinates all parental requests for in-year transfers and placements.
- 8.4 Upon receipt of a transfer request Mainstream Admissions staff will establish whether or not the parent has discussed the request with the headteacher of the pupil's current school. If this is not the case, parents will be advised to contact the headteacher to discuss their request.
- 8.5 If the parents have discussed the request with the headteacher the transfer request form will be acknowledged and parents informed that the Mainstream Admissions Team will request completion of appropriate documentation from their current school to forward to their preferred school. Requests for transfer in Y10 and Y11 will be discouraged on educational grounds, but parents have the ultimate right to proceed with the request. Requests for transfer in these year groups due to relocation to Wirral from another area or country will be processed automatically.
- 8.6 The Council will request from the Headteacher of the child's current or previous school, information relating to the child's curriculum record, attendance and behaviour. The headteacher of the school must sign the form and return it to Mainstream Admissions within 5 school days.
- 8.7 This information together with a copy of the parent's preference form and any relevant documentation from other agencies such as the Education Social Welfare Service, social worker, educational psychologists and so on, will then be forwarded to the Headteacher of the requested school(s).
- 8.8 The governing body of the requested school should reply to the Council within 10 school days of receipt of the application notifying the decision whether a place will be offered.
- 8.9 If the school believes that the child should be considered under the Fair Access Protocol or would be suitable for a Managed Move/Negotiated Transfer, this must be notified to the Mainstream Admissions team within 5 school days of receipt of the application. Where it would be helpful, the Exclusions Officer, Managed Move Officer

or Negotiated Transfer officer may facilitate meetings between the parents and the schools involved in order to resolve any difficulties.

- 8.10 For Community Schools the Council will consider all available information and decide whether to agree or refuse the request within 10 school days of receipt of the application.
- 8.11 If a parent expresses a preference for one or more of the grammar schools, then their child will be assessed by the school or schools concerned and a decision made by the governing body as to whether to offer a place. The governing body will then inform the Council of the outcome of the application.
- 8.12 Where a pupil is eligible to receive an offer of two or more school places then the parent's highest eligible preference will take precedence. Headteachers will be informed of the decision.
- 8.13 All parents will be informed by the Council of the school place allocated by letter and advised to contact the headteacher of the school to arrange admission. The letter will also inform the parent of their legal right to appeal and who to contact to make an appeal. Parents should, wherever possible, make an appeal within 20 working days of receipt of the letter notifying them of the outcome of their application.
- 8.14 In accordance with the School Admissions Code 2012 admission authorities must not refuse to admit a child solely because:
- (a) they have applied later than other applicants;
  - (b) they are not of the faith of the school in the case of a faith school;
  - (c) they have followed a different curriculum at their previous school;
  - (d) information has not been received from their previous school;
  - (e) they have missed entrance tests for selective places.
- 8.15 Parental preference must be met unless the school believes that do so would "prejudice the efficient education or the efficient use of resources", under Section 86 of the School Standards and Framework Act 1998. In effect, schools are expected to offer a place if there are places available in the year group. Parents who are refused a place have a right to an appeal to an independent appeal panel. Schools considering refusing to offer a place when places are available in the year group should consider whether they believe their decision to refuse was one that a reasonable admission authority would have made in the circumstances of the case, as the onus will be on the school to prove prejudice.
- 8.16 **Challenging behaviour:** The Admissions Code 2012 says that if a governing body does not want to admit a child with challenging behaviour as an in-year transfer,



even though places are available, it must refer the case to the local authority under the Fair Access Protocol. The definition of “challenging behaviour” is set out in the Fair Access Protocol. Any such cases must be raised with the local authority within 5 working days of receiving the transfer paperwork. Children not meeting the Fair Access definition of “challenging behaviour” must be considered as in year transfers. Fair Access does not apply to a looked after child, previously looked after child or a child with a statement of special educational needs naming the school as these children MUST be admitted.

- 8.17 If the request is refused, headteachers are informed of the decision and parents are informed in writing and given details of their legal right to appeal. Parents should, wherever possible, make an appeal within 20 working days of receipt of the letter notifying them of the outcome of their application. If a parent lodges an appeal, copies of the relevant documentation will be sent to the preferred school.
- 8.18 The time taken for a transfer request to be processed should be as short as possible. The Council expects that parents will be informed of the outcome of their request within 15 school days.
- 8.19 **Children of UK service personnel.** Places for these children will be allocated in advance if accompanied by an official letter with a relocation date and Unit postal address or quartering area address.
- 8.20 **Overseas applications.** Parents who have already moved to the UK from overseas who are British or European Economic Area nationals, or who have an endorsed passport showing right of abode, can apply for places for their child at any school covered by this scheme. The Council may ask to see passports for verification.

Parents or children in these categories who do not yet live in the UK can apply before the date they move to the UK. However, the address to be used in the allocation of a place will be the address that the child is living at on the closing date, unless a subsequent house move has been accepted up to the last date for changes in the coordinated scheme. A UK address will only be used once the child is residing at that address, and evidence will be required of this, as in paragraph 1.7 of this document.

## **9.0 The In Year Fair Access Protocol**

- 9.1 All requests for in-year places will be considered with reference to the Council’s current admission arrangements and procedures for in year placements. The majority of requests will be agreed or refused by admission authorities with reference

- to two important factors: parental preference, and the availability of places within the relevant year group.
- 9.2 All Wirral schools will take part in the Fair Access Protocol, which is published separately. Schools must respond immediately to requests for admission to school according to the timescales above so that admission of the pupil is not unduly delayed.
  - 9.3 Children who are looked after and previously looked after, and children with a Statement of Special Educational Needs naming the school are NOT included in the Fair Access protocol. These children MUST be placed in the school of their carer's preference irrespective of the availability of places in the year group.
  - 9.4 **Managed Moves – at risk of permanent exclusion.** For pupils who are at risk of permanent exclusion and on the roll of a Wirral school it is open to the headteacher to refer the case to Exclusions Officer to consider the possibility of a Managed Move. The Managed Move protocol is covered by a separate document, available on request. All such placements will be initially on a trial basis for a minimum of six weeks. Confirmation of placement on the school roll will be subject to a satisfactory report.
  - 9.5 Pupils who have been permanently excluded will normally be placed on the roll of Emslie Morgan School (formerly Wirral Alternative School Provision). In a minority of cases where the exclusion was as the result of a 'one off incident' such pupils will be transferred immediately to an alternative school. Such transfers will be agreed with the parent and relevant headteacher. All secondary schools will take a minimum number of 1, or the number of permanent exclusions in the previous academic year, as the agreed quota of permanently excluded pupils for placement.
  - 9.6 The majority of such pupils will have spent some time in the relevant alternative base or Pupil Referral Unit. The transfer to a school will be monitored at the Wirral Excluded Pupils Monitoring Panel (WEMP) or equivalent group.
  - 9.7 **Negotiated transfers.** For children who are not at risk of permanent exclusion, but where there are concerns about behaviour or attendance, it is open to schools to consider a negotiated transfer. This is covered within the Fair Access Protocol, published separately. All such placements will initially be on a trial basis for a minimum of six weeks. Confirmation of placement on the school roll will be subject to a satisfactory report.
  - 9.8 Parents retain their legal right to an appeal for a place at any school of their preference. This right is not affected by the decision of the Fair Access Panel.



<b>Admission Authorities in Wirral</b>	
<b>Wirral Council</b>	
<b>Community Secondary Schools (4)</b>	
Mosslands School	
Pensby High School for Boys	
Pensby High School for Girls	
Wallasey School	
<b>The Governing Bodies of:</b>	
<b>Academy Schools</b>	
Birkenhead High School Academy for Girls (Senior)	
Calday Grange Grammar School for Boys	
Hilbre High School	
Oldershaw School	
Prenton High School for Girls	
St Anselm's College	
St John Plessington Catholic College	
University Academy of Birkenhead	
Upton Hall School FCJ	
Weatherhead High School for Girls	
West Kirby Grammar School for Girls	
Wirral Grammar School for Boys	
Wirral Grammar School for Girls	
Woodchurch High School	
<b>Catholic Aided Schools</b>	
St Mary's Catholic College	
<b>Foundation Schools</b>	
Ridgeway High School	
South Wirral High School	
<b>Trust Schools</b>	
Bebington High School Sports College	

\* Status subject to confirmation.

A full list of schools and a map showing locations is provided in the Council's information booklets for parents, available on-line at

[www.wirral.gov.uk/schooladmissions](http://www.wirral.gov.uk/schooladmissions)

The scheme will be amended if there are further changes to the status of schools.

**PROPOSED ADMISSION NUMBERS FOR WIRRAL COMMUNITY SECONDARY SCHOOLS**

<b>SCHOOL</b>	<b>ADMISSION NUMBER 2015 – 2016</b>
Mosslands School	258
Pensby High School for Boys	150
Pensby High School for Girls	150
Wallasey School	250

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## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT:</b>	<b>SCHOOL MEALS AND UNIVERSAL FREE SCHOOL MEALS FOR INFANTS</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>DIRECTOR OF CHILDREN'S SERVICES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>COUNCILLOR TONY SMITH</b>
<b>KEY DECISION?</b> <i>(Defined in paragraph 13.3 of Article 13 'Decision Making' in the Council's Constitution.)</i>	<b>YES</b>

#### 1.0 EXECUTIVE SUMMARY

This report seeks approval for an increase in the price of all paid school meals provided by METRO services to £2.30 with effect from 1<sup>st</sup> September 2014. In addition the report sets out the arrangements that will need to be put in place in order to implement the new statutory requirement for universal free schools meal for infants from September 2014.

#### 2.0 BACKGROUND AND KEY ISSUES

##### 2.1 School Meal Price Increase

2.1.1 School meal prices are determined by school governing bodies. Where a meal service is provided by the Council on behalf of schools, prices are still determined by the school, having taken account of advice provided by the Local Authority.

2.1.2 The Council's advisory meal price was last increased in September 2008 from £1.70 to £2.00. There has been no change since that date as the service has broken even. This situation changed in the last year and it is now necessary to increase the charge per meal. Moving forward we will ensure an annual review takes place which is in line with the Council's annual review of fees and charges.

2.1.3 The Council METRO service provides a meals service to 80 schools in Wirral

3 nursery schools  
64 primary schools  
13 special schools

It is estimated that in 2013-14 the service will provide over 6,100 meals a day, In a year 600,000 are paid meals (52%) and 550,000 are free (48%). A number of schools have in recent years made their own arrangements for school meals which has reduced the overall number of meals served by METRO. The service has a turnover in excess of £4m per annum, giving a unit cost per meal of £2.87.

2.1.4 In the current year the service is unlikely to breakeven and may declare a loss (within the schools budget) of up to £80,000. The main factors are:

- Food costs. Inflation in this area is significant; price increases have only recently started to slow down. The unit cost per meal is 90p set against a target of 76p.
- There has been a reduction in the number of free school meals and an increase in paid meals, where there is a subsidy of 30%.

The expansion of the school meals service described below will tackle some of these increased costs, in providing greater economies of scale. Menus will be reviewed and cost comparisons in kitchens will identify where further action is needed. The outcome from these changes will also be reflected in a review of the School Meals Service Level Agreements.

2.1.5 Recently there has been a change in the number of pupils who are entitled to Free School Meals (FSM). The number of pupils aged 5-16 registered for free school meals in January 2014 fell to 8,439 from 8,936 12 months previously, an overall reduction of 5%. This reduction reflects the increasing numbers of parents claiming Working Tax Credit, rather than Child Tax Credit. Overall the FSM percentage has reduced from 25% to 20% over the period 2008 to 2014. The change in the balance of meals provided in schools will increase the reliance on income generated from paid meals, where there is currently a large subsidy as indicated below.

2.1.6 In the area the current comparable meal prices are:

Cheshire West and Chester	£2.15
Lancashire	£2.20
Sefton	£1.75
Cheshire East	£2.10
Halton	£2.10
Knowsley	£1.70
St Helens	£2.10

Whilst Wirral's price would exceed those quoted above, these rates apply to 2013-14 only. All meal services will be facing increased cost pressures.

## 2.2 Universal Free School Meals for Infants – additional revenue funding

The Chancellor of the Exchequers Autumn Statement confirmed both revenue and capital funding to introduce free school meal entitlement for all children in reception, year 1 and year 2 with effect from September 2014. This will be a legal duty, included as part of the Children and Families Bill.

More recently at the end of January the Secretary of State indicated that funding will be provided to schools at a rate of £2.30 for each meal taken – based on those infant pupils that are newly eligible for a free meal.

Evidence from national pilot schemes indicates that not all parents of infant aged children will take up an offer for a free meal; and on this basis take up may be between 80 – 90%. However pilots do point to a likelihood that the introduction of free meals for infants is likely to lead to greater take up of school meals in other year groups too.



At 90%, the overall number of additional infant meals is estimated to be 1,500,000 per annum, resulting in a revenue grant of £3,450,000, a share of which would be payable to each maintained primary school.

The grant in respect of Wirral's 80 schools who buy a METRO service would be £2,300,000. This reflects an estimated increase of 1 million meals which would increase current meal volumes by more than 80%. The Meal Grant would fund additional food costs, maintenance, training and staffing. At this time it is thought likely that the school kitchen workforce will need to increase from 270 by a further 80 to 100 posts.

This report is seeking the initial approvals in order to start a recruitment process that will have trained staff in post by 1<sup>st</sup> September 2014.

### 2.3 Universal Free School Meals for Infants – additional capital funding

The new policy for free school meals is supported by additional capital funding. This provides funding for the investment required in kitchens to increase capacity. Wirral's allocation from an overall sum of £150m is £623,802 for maintained schools and £241,048 for Aided Schools giving £864,850 in total. The allocation is in the form of a capital grant.

All school kitchens have been surveyed; most funding will be directed towards increasing storage, equipment and food preparation areas. There will also be a need for additional dining furniture. At one or two sites where there is limited space some structural alterations may also be necessary. Investment will be made as prioritised as required across all school sites, irrespective of meals provider.

The allocation for maintained schools of £623,802 will be added to the Children and Young People's capital programme for 2014-15.

## 3.0 RELEVANT RISKS

- 3.1 The steps that will be taken following agreement of this report will minimise any risk that the requirement to offer free meals for infant aged children in schools would not be met.

## 4.0 OTHER OPTIONS CONSIDERED

- 4.1 There have been no other options considered as part of this report.

## 5.0 CONSULTATION

- 5.1 The proposals in the report will be considered by the Schools Forum and the Primary and Special Headteacher working groups prior to implementation

## 6.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

- 6.1 There are no direct implications for VCF groups.

## **7.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

- 7.1 Wirral Infant, Primary and Primary Special Schools will receive a school meals grant in addition to their revenue budget for 2014-15. The amount in a full year has been provisionally estimated at £3,450,000, the grant from September 2014 (part year) would be in the region of £2,300,000, more precise information will be known as the scheme is implemented.  
Grant in respect of 80 schools where METRO provide a meals service is estimated to be £2,300,000 (part year £1,500,000).  
The grant will fund the additional costs described in schools and within the trading account
- 7.2 The CYP capital programme should be amended to include the school meal capital grant of £623,802, funding a programme of alterations and additional equipment in maintained primary schools. The programme for aided schools totalling £241,048 will be developed with the Dioceses.
- 7.3 The expansion of the meals service will result in the recruitment of additional staff. The exact number required is calculated from a ratio of staffing hours to meals produced. At this stage it is anticipated there would be a need for an additional 80 to 100 staff. Schools who self provide the meals service or use another provider are also likely to increase their staffing levels.

## **8.0 LEGAL IMPLICATIONS**

- 8.1 The requirement to provide Free Infant School Meals from September 2014 will be a statutory duty on maintained primary schools and academies.

## **9.0 EQUALITIES IMPLICATIONS**

- 9.1 Has the potential impact of your proposal(s) been reviewed with regard to equality?

(a) Yes and impact review can be found via the following link:

<http://www.wirral.gov.uk/my-services/community-and-living/equality-diversity-cohesion/equality-impact-assessments/eias-2010-0>

## **10.0 CARBON REDUCTION IMPLICATIONS**

- 10.1 The preparation of additional meals will increase the use of fuel in Kitchens. From April 2014 schools have been withdrawn from the Carbon Reduction Scheme.

## **11.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

- 11.1 Any planning requirements arising from capital work in kitchens will be complied with.

## 12.0 RECOMMENDATION/S

- 12.1 That the price of a paid school meal is increased to £2.30 from September 2014 in primary schools where services are provided by METRO Services and that this increase is recommended to governing bodies of primary and special schools.
- 12.2 Subject to Council approval that the capital grant received to implement universal free school meals for infants in maintained schools totalling £623,802 is included with the capital programme for 2014-15 and is used to progress the range of schemes described.
- 12.3 That METRO school kitchen staffing number are increased to take account of additional meal numbers, with costs funded by schools and a DfE revenue grant based on £2.30 per additional free meal served.

## 13.0 REASON/S FOR RECOMMENDATION/S

- 13.1 To make arrangements for the introduction of universal free school meals for infants in primary schools and the increase in price of paid school meals from £2.00 to £2.20.

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## APPENDICES

*None*

## REFERENCE MATERIAL

*Secretary of State Letter 23<sup>rd</sup> January 2014*  
*Capital Allocation 18<sup>th</sup> December 2013*

## SUBJECT HISTORY (last 3 years)

Council Meeting	Date
None	

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**School Meals Service Trading Account 2013-14**

Appendix A

<b>12/13 Actual</b>	<b>13/14 Budget</b>	<b>13/14 Forecast</b>	<b>13/14 Variance</b>
£	£	£	£
2,095,773 Labour	2,084,500	2,068,727	(15,773)
140,760 Heat and Light	172,900	153,400	(19,500)
192,726 Supplies & Services	251,500	180,404	(71,096)
1,446,768 Food & Milk	1,046,900	1,351,156	304,256
Milk	265,900	16,925	(248,975)
0 Contingency	52,800		(52,800)
404,500 Support Services	382,300	382,300	0
<b>4,280,527 Expenditure</b>	<b>4,256,800</b>	<b>4,152,912</b>	<b>(103,888)</b>
(1,411,937) Pupil Income	(1,367,200)	(1,426,259)	(59,059)
(2,776,571) Service Level Agreements	(2,700,100)	(2,630,136)	69,964
(121,222) Milk Subsidy	(105,000)	0	105,000
(4,741) Parental Income (Milk)	(70,600)	0	70,600
<b>(4,383,455) Income</b>	<b>(4,242,900)</b>	<b>(4,056,395)</b>	<b>186,505</b>
<b>(102,928) Net Expenditure</b>	<b>13,900</b>	<b>96,517</b>	<b>82,617</b>

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## WIRRAL COUNCIL

### CABINET

13<sup>th</sup> MARCH 2014

<b>SUBJECT:</b>	<b>CHILD POVERTY BUDGET OPTION</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>DIRECTOR OF CHILDREN SERVICES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>COUNCILLOR TONY SMITH</b>
<b>KEY DECISION?</b>	<b>NO</b>

#### 1.0 EXECUTIVE SUMMARY

- 1.1 Further to previous reports, this report makes recommendations in relation to releasing £250,000 funding previously committed by Cabinet to the Birkenhead Foundation Years Trust initiative (referred to in previous reports as the 'Springboard' project).

#### 2.0 BACKGROUND AND KEY ISSUES

- 2.1 In September 2012, Cabinet made a number of resolutions in respect of the Birkenhead Foundation Years Trust initiative:

(1) Recognised the contribution of the Working Group and notes the views expressed in relation to the proposed Foundation Years Trust "Springboard" initiative at Appendix 1 to the report;

(2) Agreed to release an initial sum of £50,000 of the Child Poverty budget allocation to the Foundation Years Trust to develop a comprehensive business case for the 'Springboard' project and that at the same time a pre-pilot phase of work be undertaken which will involve engaging thirty families with volunteers to begin to test out and develop the model. The Foundation Years Trust shall be under an obligation to develop value for money in expending the initial sum for the purposes permitted;

(3) Agreed to consider the business case at a future Cabinet meeting, and, subject to being satisfied that the business case is satisfactory, robust, clear about the expected outcomes of the Trust's work, that the activity represents value for money and that the monitoring and performance management arrangements will accurately measure the outcomes, take a further decision as to the release of a further £250,000 to support the "Springboard" project; and

(4) Agreed that the Wirral Child and Family Group considers priorities for the remaining £100,000 of the budget allocation and makes recommendations to the

Children's Trust in order for this to be commissioned in line with the process established through the Trust in respect of Early Intervention Grant funding.

- 2.2 Cabinet is asked to note that resolution (4) of this report has been the subject of a separate report to Cabinet, and has resulted in the establishment of two school community hub pilot projects. Progress in relation to this expenditure is being monitored by the Children's Trust Board as well as via scrutiny.

### **3.0 FOUNDATION YEARS TRUST PROJECT**

- 3.1 Appendix 1 presents a summary of the Foundation Years Trust project business plan. The aim of the Trust is to test the ideas that underlay the report "The Foundation Years: *how to prevent poor children becoming poor adults*". This report set out a proposed new evidence-based strategy to abolish the inter-generational transfer of poverty, shifting the emphasis to a focus on improving children's life chances. The Trust's task is to pilot the recommendations made in that report and on the basis of the findings, help shape the Wirral's anti-poverty strategy, as well as providing a model to roll out the strategy nationally.
- 3.2 A significant amount of work has now been undertaken to develop the Birkenhead Foundation Years Trust project and business plan utilising the initial sum of money released by the Council and a number other sources of funding accessed by the Trust. This work has been led by Zoe Munby, Project Director. Between June-August 2013, the Trust focused on:
- Audit and research;
  - Engagement with families;
  - Developing monitoring and evaluation tools.
- 3.3 Taking into account existing service provision and the prioritising of support for the Intensive Families Intervention Project (IFIP) the Trust then began to develop its project plan around a number of principles as set out in Appendix 1. Again as set out in Appendix 1, the 2 year project will be spread across 3 financial years:
- Year 1 focused on piloting a mixture of evidenced and emerging programmes and approaches.
  - Delivery in Year 2 of services which show promise in Year 1 evaluation.
  - Considering a third year of piloting if likely to achieve a stronger evidence base.
  - Testing hypotheses around the type and level of support required by mothers at different ages and stages of parenthood.
- 3.4 One of the principles for the development of the project specifically refers to the need to complement and supplement existing universal services for families and Level 1 and 2 services. The Foundation Years Trust also recognises that families with higher levels of need will currently be engaged with IFIP services. Multi-agency collaboration has therefore been a clear focus for the Trust in developing its project plan and activities.
- 3.4 By Autumn 2013, the following family support activities were being delivered collaboratively, building upon local expertise:



- **Birkenhead Voices**, with help from 5 Birkenhead organisations we have listened to 30 mums who have given birth in the last two years. Their experiences of pregnancy, child birth and the first few days afterwards have been analysed and the findings will be available in early December 2013.
- **Bump Start**, a project developed by Home-Start Wirral, which is piloting a new approach to support for single mums from pregnancy through to after the baby's birth. This project is currently selecting and training volunteers and working with Health Visitors and Midwives to identify mums who will be ready for support from December.
- **Crèche Volunteers**, a second Home-Start Wirral project which will provide support for families with a child aged 0-5 years with additional needs. The volunteers will be linked to individual families in a group setting focusing on empowering parents through education, support, and play. This project has begun to recruit volunteers and will begin supporting families from January once the volunteers have completed the relevant training.
- **St James' Centre Family project**, is being developed by the North Birkenhead Development Trust and will support parents with mild mental health problems. The project is being introduced to families and has begun to recruit volunteers.
- Two further parent volunteer support projects are at the development stage.
- **PEEP baby play sessions** at Brassey Gardens Children's Centre and later in Rock Ferry, led by the Catholic Children's Society. These groups for parents, babies and under 2s support parents' confidence and enjoyment in play, singing and reading books with the very young.
- A two-day training event on the 30<sup>th</sup>-31<sup>st</sup> October brought together 17 staff and volunteers from 7 organisations who are now PEEP (Parent Early Education Partnership) Practitioners. Some will be going on to achieve the City & Guilds accreditation for the training and all are enthusiastic about implementing the PEEP approach into their current work/volunteering. The Birkenhead Project will be developing aspects of the flexible PEEP approach across a number of projects going forward.

#### **4. PROJECT MANAGEMENT AND MONITORING**

- 4.1 Project monitoring will be undertaken by Children's Services on the basis of a quarterly update report provided by the Foundation Years Trust.

#### **5.0 RELEVANT RISKS**

- 5.1 The Foundation Years Trust will be expected to put in place appropriate risk management arrangements.

#### **6.0 OTHER OPTIONS CONSIDERED**

- 6.1 A range of options have been reviewed in order to develop activities set out in this report.

#### **7.0 CONSULTATION**

- 7.1 The Foundation Trust has consulted with a range of stakeholders and service users.

#### **8.0 IMPLICATIONS FOR VOLUNTARY COMMUNITY AND FAITH SECTOR**

- 8.1 The project will have an ongoing impact on the sector.

## **9.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

9.1 The £250,000 funding referred to in this report refers to the 2012-13 budget option for child poverty activities currently held in reserve.

## **10.0 LEGAL IMPLICATIONS**

10.1 None.

## **11.0 EQUALITIES IMPLICATIONS**

11.1 The Foundation Years Trust will be expected to put in place appropriate equality impact assessment arrangements.

## **12.0 CARBON REDUCTION IMPLICATIONS**

12.1 There will be no direct carbon reduction implications.

## **13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

13.1 There will be no direct planning and community safety implications.

## **14.0 RECOMMENDATION/S**

It is recommended that:

14.1 Cabinet agrees to allocate the child poverty funding of £250,000 being held in reserve to the Foundation Years Trust on the basis of the business plan at Appendix 1.

## **15.0 REASON/S FOR RECOMMENDATION/S**

15.1 This recommendation progresses the resolution of Cabinet made in September 2012.

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### **SUBJECT HISTORY (last 3 years)**

<b>Council Meeting</b>	<b>Date</b>
<b>CABINET: CHILD POVERTY STRATEGY AND ACTION PLAN</b>	<b>14th April 2011</b>
<b>CABINET: CHILD POVERTY STRATEGY AND ACTION PLAN – PROGRESS REPORT</b>	<b>13th October 2011</b>
<b>COUNCIL: COUNCIL BUDGET 2012/13</b>	<b>1st March 2012</b>
<b>CABINET: 'ROOTS AND WINGS' CHILD POVERTY BUDGET OPTION</b>	<b>12th April 2012</b>

<b>CABINET: CHILD POVERTY BUDGET OPTION</b>	<b>27<sup>th</sup> September 2012</b>
<b>COUNCIL: COUNCIL BUDGET 2013/14</b>	<b>5<sup>th</sup> March 2013</b>
<b>CABINET: CHILD POVERTY PROJECT PROPOSAL</b>	<b>13<sup>th</sup> June 2013</b>

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## **Birkenhead Foundation Years Project: statement of purpose**

The project's purpose is to reduce child poverty. By supporting children's early development we aim to increase the likelihood that they will do well at school. We seek to reduce the developmental gap that currently emerges between better-off and poorer children at a very early age. We are working to prevent poor children becoming poor adults. We will do this by seeking to influence those factors which impact on early learning and development: the home learning environment, parental warmth and sensitivity, and parental mental health and well-being. These factors are significant for all children and families but poorer families have fewer resources to draw upon, both to avoid difficulties and to do something about them if they arise.

## **How the Birkenhead Foundation Year's Project will work**

This plan is designed as a test of a transferable model of family support with the flexibility to complement local strengths and supplement local weaknesses. The plan takes account of the reorganisation of Wirral Children and Families services and the prioritising of support for the Intensive Families Intervention Project (IFIP) and therefore focusses work at the universal level. Local service experts (commissioners, managers and front-line staff) have had a central influence on the thinking behind this business case<sup>1</sup>. We will:

- Work to complement and supplement existing services; deliver services for families at the universal/Level 1 and 2, with resources concentrated on those in most need. Recognise the principle that those families at the higher levels of need are currently engaged with IFIP services; work respectfully and in the spirit of multi-agency collaboration.
- Be guided by local expertise and seek to establish specialist groups to inform the development of Project services.<sup>2</sup>
- Where possible commission Project pilots from partner organisations, to test how easily the service can be introduced to an established local infrastructure. This contributes to value for money.
- Situate pilots so that they are visible and accessible at places where popular universal services are located e.g. alongside the Health Visitor clinics.
- Aim to bring a questioning and reflective voice that champions early learning, child development and family support with the ultimate aim of addressing inter-generational poverty.
- Draw upon the Trust's Advisors to bring fresh ideas and a UK perspective to the Wirral, through their advisory role, seminars or conference opportunities.

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<sup>1</sup> See the consultation tracker.

<sup>2</sup> For example 6 VCS organisations, recruited by open invitation to the sector, met to scope the nature of the Project's volunteer mentoring pilots.

**“It takes a village to raise a child”<sup>3</sup>: what does extending community capacity and strengthening universal services mean in practice?**

The project’s purpose of reducing child poverty means that it has to reach as many families as possible. In particular those families which don’t seek help; those which feel unconfident about their own education and unambitious for their children; and those which are suspicious of officialdom. We aim to create as many opportunities as possible for ‘accidental engagement’ with services.

Example:

**Early Explorer PEEP groups**

These are play activities for babies and toddlers, run in public places (in the same room as a Health Visitor Clinic, in a GP’s surgery, in a shop where queuing happens etc.). The parent and child will be there, waiting to get a baby weighed or to see a doctor, and there is an opportunity to occupy a bored child. Play staff offer free fun and encourage parents to stay as long as they like, sign-post to other services, and build relationships. See (1) below.

Extending community capacity and strengthening universal services can involve a single resource.

Example:

**A DVD for all parents at the antenatal stage**

A locally produced DVD, showing local parents playing with their babies and demonstrating how very new babies are able to benefit from being talked to and their capacity to respond and enjoy stimulation. This idea is based on a long-standing and widely admired service developed in Tameside. See (3) below.

Services with a wide reach are expensive unless the impact can be multiplied by same messages being delivered by statutory and voluntary sectors, by community and faith groups and crucially, by influencing how everyone from parents to grandparents, neighbours and friends all ‘raise the child’. Extending community capacity involves drawing upon awareness, knowledge, skills and enthusiasm for early learning embedded within communities.

Example:

**Training and learning opportunities**

Parents move on from receiving services, to volunteering, to training and into paid work. See (7-9) below.

Existing faith/community-based services collaborate and share their skills and are strengthened and benefit from training and resources. See (2) below.

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<sup>3</sup> A version of an African saying, quoted by Hilary Clinton.

**The Birkenhead Foundation Years Project will make a difference to Birkenhead families by influencing factors which impact on early learning and development**

<b>Where and how the project makes a difference</b>	<b>Home learning environment</b>	<b>Parental warmth &amp; sensitivity</b>	<b>Parental mental health &amp; well-being</b>
<p><b>Extending community capacity &amp; strengthening universal services</b></p>	<p>Parent &amp; child play in public places:</p> <p>(1) Early Explorer groups in Health Visitor clinics or other facilities (Jan 14 onwards, in development)</p> <p>There is the potential to develop further activity in other public places, in the light of the experience with the pilots above.</p> <p>(2) Support for un-funded faith and other community play groups with training and resources.</p>	<p>Antenatal resources:</p> <p>(3) DVD and booklet for all families – a Merseyside-wide development (longer term aspiration)</p>	<p>Giving parents a voice – focus groups, interviews and web-based opportunities; publication and dissemination:</p> <p>(4) Perinatal consultation with 30 mothers (July – October 13)</p> <p>(5) 6 months – 2 years (May – September 14)</p> <p>(6) 3 – 5 years (May – September 15)</p>
	<p>Training and learning opportunities:</p> <p>(7) Multi-agency PEEP Practitioner training for staff and volunteers with optional accreditation (Oct 13)</p> <p>(8) PEEP Practitioner network linking Children’s Centre PEEP trained staff with staff and volunteers from the voluntary sector (March 14, and thereafter)</p> <p>(9) Multi-agency PEEP Practitioner training for additional staff and volunteers, subject to evaluation and demand (Oct 14)</p>		

<b>Where and how the project makes a difference</b>	<b>Home learning environment</b>	<b>Parental warmth &amp; sensitivity</b>	<b>Parental mental health &amp; well-being</b>
<b>Open access groups and services available to all</b>	Parent & child play groups: (12) Baby and Toddler Peep Brassey Gardens & St Werburghs Parish Centre (Nov 13 onwards); Rock Ferry (Jan 14 onwards)  Parent and child reading groups: (14) Reader Organisation open group e.g. based with church play group (March 14 onwards)		Parent volunteer support: (13) St James Centre project (in development)  Parent volunteer support: (15) Bump-Start: Home-Start volunteer-delivered perinatal support up to 1 year of child's life (potential for extension if pilot phase successful, April 14 onwards)
<b>Proactive and targeted support</b>	Parent and child reading groups: (16) Reader Organisation perinatal group (Feb 14 onwards)  Parent volunteer support: (18) Home-Start volunteer support for disabled children in groups (Oct 13 onwards)	Parent volunteer support: (19) Tranmere Community Project Young Mums project (in development)  Parenting programme: (20) Antenatal PEEP (Feb 14 onwards)  Parent volunteer support: (21) Volunteer doula/birth partner support (longer-term aspiration)	Parent volunteer support: (17) Bump-Start: Home-Start single parent perinatal support project (Oct 13 onwards)



<b>Budget Summary, Years 1 and 2 September 2013 – August 2015</b>					
		<b>Activity</b>	<b>Cost</b>	<b>Committed</b>	<b>Projected</b>
<b>Extending community capacity and strengthening universal services</b>	1.	Early Explorer groups	18,600		√
	2.	Support for community groups	1,500	√	
	3.	<i>Antenatal resources Y 2</i>			√
	4.	Giving parents a voice	2,200	√	
	5.	<i>Giving parents a voice Y 2<sup>4</sup></i>	500		√
	6.	<i>Giving parents a voice Y 3</i>			√
	7.	Multi-agency training	9,000	√	
	8.	PEEP network	400	√	
	9.	<i>Multi-agency training Y 2</i>			√
	10.	Foundation Years Seminars	1,600	√	
	11.	Issue-based working groups	250		√
<b>Open access groups and services available to all</b>	12.	Baby and Toddler PEEP	20,000	√	
	13.	St James Centre	4,930		√
	14.	Reader group church	3,000		√
	15.	Bump-Start (open)	25,500		√
<b>Proactive and targeted support</b>	16.	Reader group perinatal	5,100	√	
	17.	Bump-Start single parents	5,000	√	
	18.	Volunteers and disabled children	5,000	√	
	19.	<i>Young mums Y 2</i>			√
	20.	Antenatal PEEP	17,420		√
	21.	<i>Doula support Y 2</i>			√
<b>Project management</b>		Staff salaries (director, family and volunteer co-ordinator, administrator), office and equipment costs.	133,495	√	
<b>Total</b>			<b>253,495</b>	208,795	44,700

<sup>4</sup> Activity completed in Year 2 but information gathering and some costs incurred in Year 1.

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## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT:</b>	<b>SOCIAL ENTERPRISE DEVELOPMENT - DAY SERVICES</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>DIRECTOR OF ADULT SOCIAL SERVICES</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>COUNCILLOR CHRISTINE JONES</b>
<b>KEY DECISION?</b>	<b>YES</b>

#### 1.0 EXECUTIVE SUMMARY

- 1.1 This report brings forward a revised proposal to develop an alternative Wirral based delivery organisation to be co-designed with key stakeholders including staff and parents/carers.
- 1.2 This report supersedes the previous cabinet report recommendation setting out the proposed development of two separate business cases as set out below;
  - (1) The Director of Adult Social Services be requested to further explore Option 2 with the neighbouring Local Authorities, and submit a final report in February 2014 setting out the full business case; and
  - (2) Parents/Carers Group be authorised to develop a business case in relation to their proposal to develop a social enterprise model.
- 1.3 The revised proposal is to build a single business case to develop a Local Authority Trading Company (LATC) model that takes the best elements of the above options into a cohesive single Wirral based model. It will incorporate design principles that were presented through the Heswall Carers business case.

#### 2.0 BACKGROUND AND KEY ISSUES

- 2.1 In December 2013 Cabinet agreed that officers should explore the possibility of a Shared Service with a neighbouring authority, it also agreed that a group representing Carers across the borough be authorised to develop a business case and that this was to be reviewed taking into account best practice service delivery implications and future sustainability, as well as being cognisant of the Council's statutory duties.

##### 2.2 Shared Services Option

Officers have now conducted a process of exploration with Cheshire West & Chester (CW&C) to explore the possibility of a Shared Service. The delivery company for social care is called Vivo Care Choices.

Negotiations between the two council's and Vivo Care Choices were very productive, focussed on determining potential benefits, risks, constraints and dependencies for the following elements

- ✓ Finance
- ✓ Strategic Direction
- ✓ Cost/benefits
- ✓ Legal Implications
- ✓ Service delivery

The project group worked through the cost/benefits of a potential shared service. Further detail of this work can be found at Appendix 2 of this report.

### 2.3 Parents/Carers Proposal

Parents from Heswall Centre have been supported to develop proposals to run the services as a social enterprise. Independent support was given to the group to enable them to develop a full business plan. Support was given from the council in relation to financial and budget information. However due to the nature of finance systems within local government, this information did not translate well into the business context. The lack of profit and loss data was unhelpful. The Director would like to note at this point that in a previous report it was stated that the proposals from Carers did not include the workforce; however this was not factually correct. The Carers did have concerns about the high level of costs attached to TUPE and the impact this may have on any future developments but are aware of the requirements under TUPE legislation.

The design principles contained within the presentation were very closely aligned to the vision, values and aspirations of the department.

The vision and values of the group were as follows:

- Honesty, transparency and integrity
- Creativity
- Customer Led Services
- Professionalism, enthusiasm and commitment
- Individual needs, equality, empowerment and respect

The group's aim and objectives included the following:

- Work towards continuous development and improvement, guided by the needs of the community
- Respond to the central and local government health and social care initiatives
- Deliver high quality, measurable outcomes to secure and grow a successful business in competitive market environments
- Promote and encourage learning and development
- Secure a committed and skilled flexible workforce
- Operate a viable and cost effective organisation

## 2.4 Comparison/evaluation of both options

Both options had areas of strength and areas for further development, a key challenge was whether a single model could be developed in partnership:

1. The Shared Service option could be viable from a business perspective but the Carers Group raised concerns in relation to the potential loss of a 'Wirral identity' and the ability to shape and influence the local service which was their perception of this option.
2. The parent/carers model included the offer of considerable capacity, goodwill and engagement of Carers. This capacity was seen as very positive and important to future sustainability. It is however critical that any delivery model can offer a long term legacy and sustainable management and governance arrangements in order to support this capacity.
3. Neither business case had detailed business information to use; the Council system is based upon budget allocations and expenditure. Any future business case needs to explore potential markets, anticipated growth and income etc
4. The Carers model contained very important design principles that were aligned to the department's aims, objectives and aspirations for a future model. The application of these design principals could improve social care outcomes for people overall
5. The readiness and willingness of parents to engage with the council to develop a co-designed model for future services provided a very positive opportunity to work together and to co-design the future model.
6. A feasibility study has been carried out by V4. This is a working document which will be refined and completed to accompany the Cabinet report to be presented in June and can be found at Appendix 1 of this report.

## 2.5 The way forward

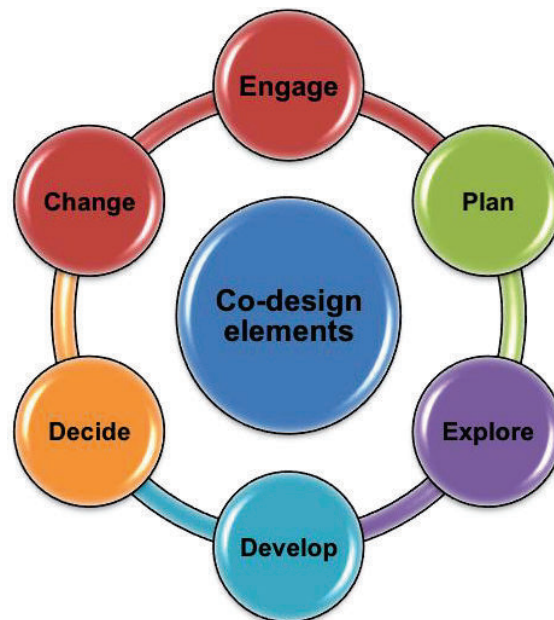
The exploration of the two options, offering different perspectives has offered a timely opportunity to pursue an alternative way forward. This combines the design principles proposed by the Heswall Carers/parents group with aspects of the business model provided through the work progressed with Cheshire West & Chester Council.

This would enable the council to develop a co-designed, co-produced model that combines the strengths of both options.

The recommendations of this report reflect this opportunity and seek approval from Cabinet to develop an alternative delivery company for Day Services in the form of a Local Authority Trading Company (LATC). The shape and design of the company will be developed by a Co-design Project Group consisting of:

- DASS Officers
- Parent/carers representatives (1 from each centre/service)
- Staff representatives
- Independent business and legal advisors.

**Co-design elements** - There are six elements of co-design that will form the structure of the group working and provide the guiding principles of the project, full details of which can be found at Appendix 3 of this report, a diagrammatic representation is below.



### **3.0 RELEVANT RISKS**

- 3.1 The failure to develop an alternative delivery vehicle within a timely manner could compromise the council's ability to achieve required budget savings.
- 3.2 Consideration will be required in relation to the current savings profile for day services against the newly revised project

### **4.0 OTHER OPTIONS CONSIDERED**

- 4.1 Alternative options have been considered and presented to members at regular periods since December 2012 as can be seen from the subject history table below. Viable options have been explored and non viable options have been disregarded.

### **5.0 CONSULTATION**

- 5.1 Several full public and staff consultations have been carried over the past two years in relation to this work. Following the recommendations of the December 2013 being agreed, a staff consultation has been carried out in January, ongoing consultations with staff and Trade Unions will continue as part of the development work.
- 5.2 The co-production model will enable full input from stakeholders in the development of the LATC.

## **6.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

- 6.1 There are no negative impacts in relation to any of the options for the VCF. However, there are potential opportunities for the VCF sector to become involved it would provide business opportunities for organisations to diversify their offer in relation to services offered in a more competitive market.

## **7.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

- 7.1 TUPE legislation will apply. All Terms and Conditions of employment (including pension rights) are protected by TUPE in a transfer. An actuary service will be commissioned (at cost) to advise of all implications regarding the transfer of pension. The new employer must make provision to ensure the transferred employee receives pension rights equitable and comparable to the existing pension agreement.

### **TUPE applies in two sets of circumstances:**

- i. When there is the transfer from one organisation to another of an economic entity that retains its identity. An economic entity is defined as “an organised grouping of resources which has the objective of pursuing an economic activity, whether or not that activity is central or ancillary”;

and / or

- ii. Where a specific employee or dedicated group of employees provide a service to a client, and the identity of the service provider changes. The change in service provider may be from ‘in house’ to a third party provider (which may include another public sector body); from one third party provider to another; or from a third party provider back ‘in house’.

## **8.0 LEGAL IMPLICATIONS – AWAITING INPUT FROM EVERSHEDES**

- 8.1 TUPE generally applies where a public authority outsources its service delivery, provided the conditions set out in paragraph 2 above are satisfied. As there is a dedicated group of employees working on the activities to be outsourced then TUPE will apply.
- 8.2 The Local Government Pension Scheme regulations prescribe that the actuaries of both schemes must agree the transfer payment relative to the actual and potential liabilities accrued under the LGPS to be subsumed by the new scheme based on appropriate actuarial assumptions.
- 8.3 Merseyside Pension Fund advise that in this case, a transfer can take place before the final pension details have been agreed and settled, providing appropriate provision is made by the transferee to collect contributions and place ‘on hold’ until a new pension arrangement is in place.

## **9.0 EQUALITIES IMPLICATIONS**

- 9.1 Has the potential impact of your proposal(s) been reviewed with regard to equality?

(a) Yes

## **10.0 CARBON REDUCTION IMPLICATIONS**

10.1 N/A

## **11.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

11.1 N/A

## **12.0 RECOMMENDATION/S**

12.1 It is requested that Cabinet:

- i. Agree to the development of a Wirral Council Local Authority Trading Company model
- ii. Agree for officers to progress the development of the Co-design Project Group with key stakeholders including staff and parent/carers
- iii. Agree to receive a further progress report in June 2014 that will include the full project plan and implementation timeline.
- iv. Acknowledge the work undertaken to date that has enabled us to take this work forward
- v. That Cabinet note the findings of the feasibility study carried out by V4 and further note that this is a working document which will be refined and completed to accompany the Cabinet report to be presented in June

## **13.0 REASON/S FOR RECOMMENDATION/S**

13.1 Cabinet is requested to support the recommendations of this report in order to achieve a solution that is mutually supportive and acceptable to all key stakeholders who will work together in order to co-produce the required solution that will provide a future delivery model for day services.

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## **APPENDICES**

Appendix 1 – Feasibility Study Report from V4

Appendix 2 - Shared Service model with Cheshire West and Chester Council

Appendix 3 - Co-design Principles

## **REFERENCE MATERIAL**



**SUBJECT HISTORY (last 3 years)**

<b>Council Meeting</b>	<b>Date</b>
<b>Cabinet</b>	<b>20 December 2012</b>
<b>Health &amp; Wellbeing Overview &amp; Scrutiny Committee</b>	<b>4 December 2012</b>
<b>Health &amp; Wellbeing Overview &amp; Scrutiny Committee</b>	<b>14 January 2013</b>
<b>Cabinet</b>	<b>18 February 2013</b>
<b>Council (Budget)</b>	<b>5 March 2013</b>
<b>Cabinet</b>	<b>10 December 2013</b>

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Wirral Council

Review of New Service Delivery  
Model for Day Services and Day  
Opportunities

by  
V4 Services

26 February 2014



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## Executive Summary

### Executive Summary

In 2012, the Council undertook an options appraisal to select a preferred model of delivery for day services and day opportunities. It is understood that any new model of delivery must:

- Maintain or increase current standards of quality for care
- Develop and maintain a sustainable service
- Develop a service model that is flexible, responsive and rehabilitating
- Provide a model of service provision that reflects a response to the personalisation agenda
- Create a culture where relationships are a priority

After various exploratory exercises and discussions with possible partner local authorities, the preferred option identified was a Local Authority Trading Company (LATC). Upon Cabinet approval of this option in July, Wirral Council must develop a Strategic Business Case, setting out a clear rationale for the establishment of a LATC that will deliver sustainable services whilst meeting MTP savings.

In determining the viability of a LATC to deliver specific day services, the following analysis has been completed and findings have been incorporated into this report:

- The impact of personal budgets / direct payments.
- The financial sustainability and viability of the services.
- The market sector, demographic changes and future trends.
- The impact of employment and pension policies.
- The relationship with and impact on service users and their carers.
- The management and governance of services.
- The risks associated with these services.

The creation of an LATC is consistent with the council's desire to become a commissioning organisation, and provides a politically acceptable solution for transferring services to the marketplace. The fact that the council will own the company (although it is independent and legally required to act in the best interests of the company, not the council) enables the new organisation to retain association with the trusted local authority brand, while also maximising flexibility.

Overall our assessment is that the proposal for the LATC is viable and can be substantiated. It should be recognised however that the delivery of income and efficiency targets will require the development and implementation of clear Operational Business Plan by the LATC management, and the financial risks will need to be identified clearly and tested by the new LATC Finance Director.





# Introduction

## Introduction

### The Project Brief

In February 2014 V4 Services was commissioned by Wirral Council to undertake a review of the proposed Local Authority Trading Company (LATC) for Day Services and Day Opportunities.

The brief was to explore the viability of a new Local Authority Trading Company (LATC) delivery model for these services. Of significant importance was the assessment of:

- a) The likelihood of the LATC to deliver the medium term financial plan; and
- b) The ability of the LATC to deliver these services with long term stability and sustainability.

Specific key lines of enquiry included:

- Identification of key risks associated with the LATC and recommendations to ensure success.
- Identification of opportunities associated with the LATC and recommendations to improve and expand services.
- Identification of indicative cost base and financial modelling of the proposed LATC.
- Identification of recommendations with a form of prioritisation and suggested timescales to ensure the successful delivery of the LATC.

### Our Methodology

The review commenced on 3<sup>rd</sup> February 2014 and was required to be completed in time for submission to Cabinet on 13<sup>th</sup> March.

Our methodology included the review of a number of key project documents, interviews with key stakeholders and attendance at various meetings with partners.

A list of the key documents reviewed and stakeholders interviewed is provided at Appendices 1 and 2 of this report.





## Review of the Proposal for a LATC

## Viability of a New Delivery Model

### Day Services and Day Opportunities

The Council recognises that financial and demographic pressures alongside national policy drivers mean that in-house provision of day services will not be sustainable. In the future, this model would struggle to deliver the required levels of service within available resources.

Cabinet in December 2013 considered a number of different delivery models including a shared services unit for Day care services with a neighbouring authority. Other options considered were the establishment of a Local Authority Trading Company (LATC) or form of social enterprise.

The LATC and Social Enterprise options are similar in that:

- Both can achieve savings and could generate income from other sources such as direct payments, private funders and potentially other contracts from outside of the Council.
- Both have potential to provide leadership in a relatively disparate market which could help to manage quality issues in the external market. This ensures that the Council can continue to meet its legal obligations in the event of market failures.
- Savings can be made through reduced absenteeism, greater staff productivity, and through procurement.

However, restricted Council control, limited access to generated income and unfavourable procurement regulations for a Social Enterprise (i.e. the need to subject the enterprise to competitive tender) means the LATC is the most viable option.

The additional benefits of any proposed LATC for the Wirral include:

- More favourable governance arrangements as it would be wholly owned by Wirral Council and elected members would be on the Board
- The potential benefits of a LATC are viewed positively by stakeholders such as the Co-design Project Group and staff locally.

Outsourcing is also a viable option, with the potential to reduce cost and ensure a financially sustainable service. However, there are significant risks:

- The Council will lose ultimate control of the service affecting, for example, the flexibility to implement policy initiatives
- The Council will not be able to generate income
- Outsourcing is not viewed as a popular option amongst service users, carers and Council staff.

## Financial Efficiencies

### Financial Analysis

The immediate impact of the arrival of the LATC onto the social care market in the Wirral will be minimal. Initially, the LATC will continue to deliver equivalent services and volumes to those currently delivered by Wirral Council.

The Council cannot be relied upon as a direct source of funding and all providers will have to increase the extent to which they compete in order to win more market share. Price is an important factor in consumer choice and therefore this competition has the potential to drive down costs to the consumer. However, quality is an equally, if not more important factor for people selecting a care service, and if providers are to retain business it will be essential for quality to remain high, creating a buyer's market of lower prices and higher quality.

Initial indicative assessments of financial projections indicate that the LATC would be able to reduce the cost base for day services by approximately 31% over a two year period (see Forecast Savings). For the Council this would mean that the average cost of a day service session (1/2 day) would reduce from £23.84 to £16.67.

#### Current and Predicted Unit Costs for Day Service Sessions

Day Service	2013/14 Unit cost per session (£)	2014/15 Predicted unit cost per session (£)	2015/16 Predicted unit cost per session (£)
Cambridge Road Day Centre	31.15	28.86	21.84
Eastham Centre	19.86	18.29	14.67
Heswall Centre	20.28	18.68	14.70
Highcroft	15.34	14.61	10.20
Moreton Centre	29.79	28.58	18.99
Pensby Wood	41.07	37.03	30.19
Best Bites	43.49	37.26	32.21
Dale Farm	20.27	19.03	14.12
Royden Project Day Care	15.31	12.71	10.65
Star Design	19.48	16.08	11.12
Masque Theatre	5.88	5.47	4.64

In 2012 the cost of a day centre session to a full cost client (i.e. those with capital above £25k) was £14.88. In 2014 this equates to £15.18. If we use this figure as a baseline then we can see that the Council are currently subsidising all but one of their day services. For the LATC to be sustainable it

would need to introduce a sliding scale of charges based on the complexity of need and support service users require as a result.

During our review we have been able to ascertain the minimum cost of a ½ day session for an individual with complex needs is £50 (The Autistic Society). The cost of a session at Pensby Wood, with the necessary equipment and adaptations to support an individual with complex needs is approximately £30. On this basis the LATC would be able to compete in the market place and provide an alternative service option.

Over time, the LATC will look to diversify its provision, expanding services into types of support not currently provided by the Council i.e. community based support and support for carers that would expand and improve the quality of care and support available. These are types of support that may be currently only available from the independent and voluntary sector and would be attractive to those eligible disabled individuals and self-funders alike as part of a holistic programme of support.

Eligible disabled individuals through access to flexible personal budget funding, will be able to choose a wider a range of support relevant to their personal needs from the LATC. In addition those disabled people who currently fall outside Wirral’s eligibility criteria, will be able to purchase care and support previously unavailable to them.

The number of people in receipt of a direct payment is steadily increasing as people chose to arrange their own care and support. Wirral currently provides direct payments to approximately 385 people with learning disabilities, physical disabilities and mental health issues. These people are currently unable to use their direct payment to buy back day services from Council provision. Income generation from direct payments and individual budgets cannot be tapped into without a new delivery model.

**Number of People in Receipt of a Direct Payment During the Year**

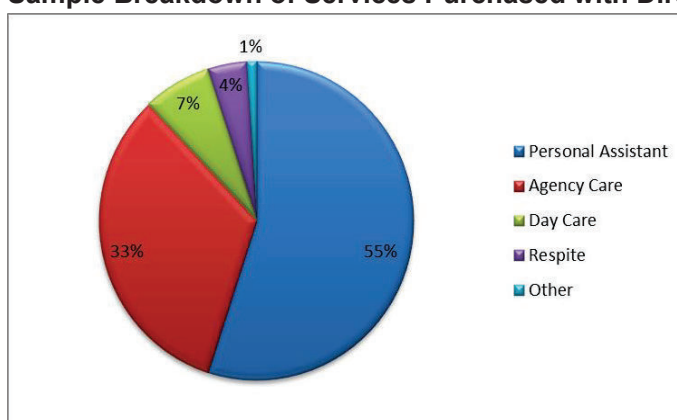
Client Group	2009/10	2010/11	2011/12
Older Persons	125	155	190
Physical Disabilities / other	135	175	210
Mental Health	15	15	35
Learning Disabilities	65	95	140

Analysis of the 2013/14 actual and forecast gross expenditure for Wirral Adult Social Services highlights that the expenditure on direct payments is predicted to be £6,502,947.

**Expenditure on Direct Payments During the Year**

Client Group	2012/13 Expenditure (£)	2013/14 Expenditure to 31 Jan 2014 (£)	2013/14 Forecast Expenditure (£)
Older People / Physical Disabilities	4,653,030	3,616,239	3,781,266
Learning Disabilities	2,388,620	2,417,423	2,603,919
Mental Health	132,656	116,016	117,762
<b>Total</b>	<b>7,174,306</b>	<b>6,149,678</b>	<b>6,502,947</b>

Due to the flexible nature of direct payments, there is no available data that provides a comprehensive overview of how people spend their allocated budget. However, a sample of 50 cases has indicated that people chose to spend approximately 7% of their direct payment on day care.

**Sample Breakdown of Services Purchased with Direct Payments**

By extracting the expenditure on older persons direct payments, a balance of £4,569,740 remains available for the purchase of services by people with learning disabilities, physical disabilities and mental health issues, of which 7% i.e. £319,881 is being used to purchase day care. The LATC will be in a position to attract customers to use this element of their direct payment to purchase a range of day services and day opportunities provided.

Analysis of the current usage of day services has indicated that there are approximately 454 vacancies across the Wirral.

**Usage of Day Services and Day Opportunities**

Day Service	Sessions per week		
	Capacity	Current Usage	Vacancies
Cambridge Road Day Centre	400	500	-100
Eastham Centre	750	706	44
Heswall Centre	900	884	16
Highcroft	350	338	12
Morton Centre	350	316	34
Pensby Wood	250	248	2
Best Bites	504	320	184
Dale Farm	250	257	-7
Royden Project Day Care	230	172	58
Star Design	160	97	63
Masque Theatre	220	72	148
<b>Total</b>	<b>4,364</b>	<b>3,910</b>	<b>454</b>

By using the baseline figure of £15.18 as the current cost of a day centre session, and assuming the LATC would operate at 98% capacity i.e. 4,276 sessions per week then an additional weekly income of £5,555 could be generated. This equates to an additional income of £288,905 per annum.

There is limited knowledge regarding self-funders and further work should be undertaken to understand the self-funders market and demand for day services and day opportunities.



## Stability and Sustainability

### Market Analysis

There are estimated to be approximately 4,600 people aged under 65 years with a learning disability in the Wirral. This number is expected to have reduced by 4% by 2020.

#### Predicted Number of People with a Learning Disability

	2012	2014	2016	2018	2020
People aged 18-64 with a learning disability	4,583	4,533	4,495	4,456	4,416
People aged 18-64 with a moderate or severe learning disability	1,028	1,019	1,013	1,007	1,001
People aged 18-64 with a severe learning disability	271	268	265	263	262

Adults with a learning disability are experiencing increased longevity and the population as a whole is ageing. As the population ages there will be an increasing trend of older adults with learning disabilities with increased levels of frailty due to age requiring support, including those whose parents have been caring for them but can no longer do so due to their own increasing frailties as they age.

There are a small but significant number of young people who are currently supported by children's services and who are due to transfer to adult social care as they become adults. Estimates for the next 3 years suggest approximately 40 new cases year on year.

The Council is the main provider of day services within Wirral and currently operates six day centres for people with physical and learning disabilities, three day centres for people with mental health needs and six day services offering "work type" placements for people with a disability. These have close links with their communities, operate increasingly personalized services and carry out a range of trading activities including catering and sale of plants and produce. This dominance within the local market is only challenged by the Autistic Society, which delivers more specific services to highly complex service users. There will also be community organisations and third sector organisations within the Wirral taking some of the responsibility for providing specialist services and low level services at present and in the future.

The Wirral has a slightly higher than average population percentage with learning and physical disabilities. This, as well as higher levels of deprivation means that there is a greater reliance upon council provision of day services. However, there are sections of the populace that do not currently utilise the council services, although these services could accommodate their care and support needs.

**Adults Living with a Learning Disability Known to Local Authorities**

Period	England Average %	North West %	Wirral %	No. of Adults
2008-9	4.14	4.45	5.83	1,065
2009-10	4.21	4.66	5.36	980
2010-11	4.27	4.71	5.25	960
2011-12	4.27	4.64	5.35	1,020

This disparity would suggest that the model of operation needs to evolve further to meet national expectations and changing needs. The use of Personal Budgets has increased demand for flexible support packages, and reduced demand for traditional long term day care. This is particularly evident with young people who are making the transition from children's to adult services who are exercising their choice not to attend day centres.

Demand for day services has remained relatively high in the Wirral compared with the rest of the UK. This would suggest that the Wirral remains competitive when compared nationally.

**Adults Using Day Services**

Period	England Average	North West	Wirral
2008-9	406.14	411.14	281.69
2009-10	364.47	370.30	290.82
2010-11	352.42	357.42	312.50
2011-12	347.20	346.61	313.73

This demand is based on a number of factors:

- The level of people with learning disabilities and / or physical disabilities is rising
- A deprived proportion of the population with little choice but to remain using existing services
- An aging population of care users who have consistently used existing services for an extended period of time
- The relatively low take up of personal budgets / direct payments to date.

**Adults with Learning Disabilities Receiving Direct Payments**

Period	Wirral	North West	England
2010-11	35	1,275	7050
2011-12	60	1,915	11,470
2012-13	70	2,175	15,135



There is evidence of an increasing demand for “work type” placements delivered in six of the council’s day services. These currently offer the equivalent of around 130 full time places a day to service users.

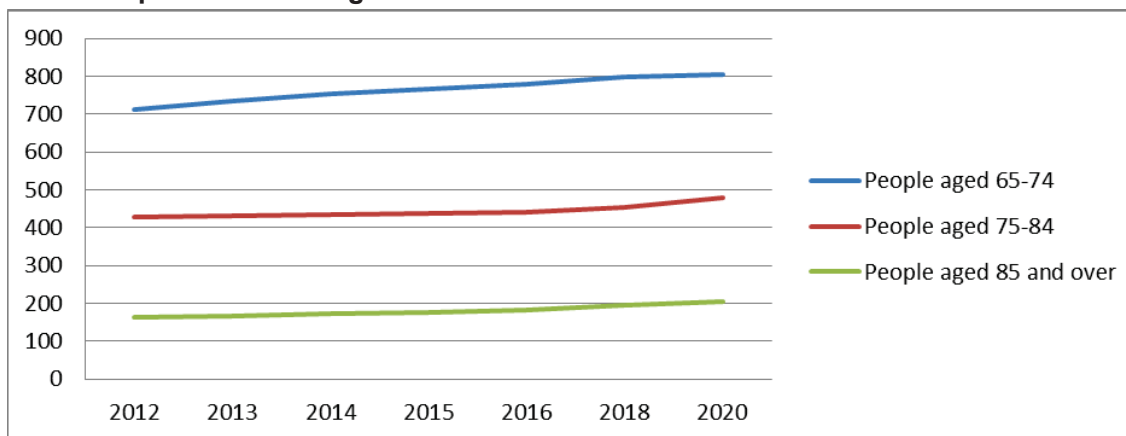
There are also continuing changes in the number of people requiring support in the community, with a steady rise in the number of people with the highest support needs who will continue to require specialist centres which can offer skilled therapeutic support and appropriate equipment and facilities. The Autistic Society (local annual budget £14m) is the sole substantial competitor to council services with an increasing market share of service users highly complex of care needs and the Council would be advised to enter in to an open dialogue with them as an organisation. This would enable the Council to understand their operating model in more depth, to develop a more amicable local working environment in the sharing of a knowledge base and to explore the interdependencies that would be created in a LATC organisation that could be exploited to mutual benefit (national data sets on key demographics, back office functions, possible sharing of assets and wider resources). This will be explored further in the development of an Outline Business Case.

In addition the population that attends day centres is ageing and is likely to require a different range of services into the future.

If the vision of the market over the next ten years is based upon demographic changes solely, then if the status quo were to continue there is a possibility that the demand for places would outstrip that of provision by the council as well as the third sector.

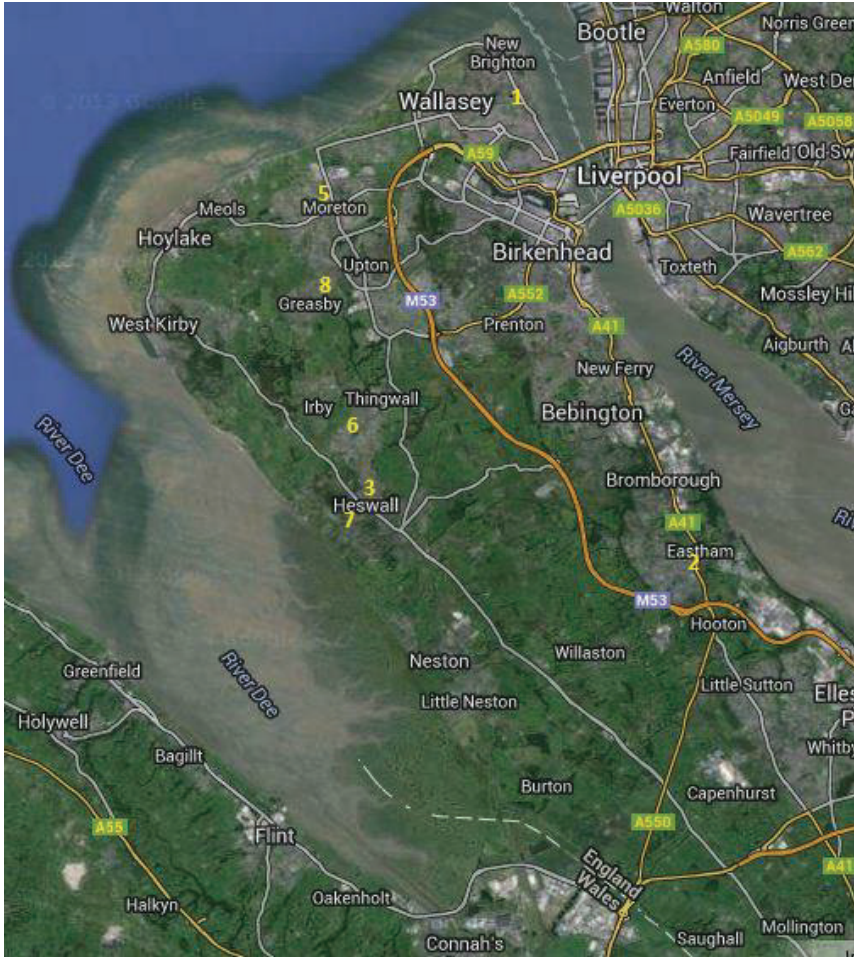
There is a noticeable trend of people with learning difficulties and physical disabilities living longer with more complex care needs and a relative decrease in the 18-25 year olds in the Wirral as a percentage of the overall population. In addition is the national trend and policy drive towards increasing Reablement and personal choice for those with learning disabilities and physical disabilities which is set to continue for the foreseeable future;

### Older People with Learning Disabilities



The spread of the population in the Wirral is very even, however the spread of service users is more concentrated in certain areas, which also corresponds to the deprivation index and the location of centres along the coast. This indicates that the current location of day centres is well placed to serve the local population, with some possible refinement to meet future changing needs.

### Current Location of Wirral Day Centres



#### Day Centres

1. Cambridge Road Day Centre
2. Eastham Centre
3. Heswall Centre
4. Highcroft
5. Moreton Centre
6. Pensby Wood
7. Dale Farm
8. Royden Project Day Care
9. Star Design
10. Best Bites (onsite organisation)

## Outcomes and Priorities

### Outcomes

All people with a learning disability are people first with the right to lead their lives like any others, with the same opportunities and responsibilities, and to be treated with the same dignity and respect. They and their families and carers are entitled to the same aspirations and life chances as other citizens.

People with learning disabilities should be able to commission their own services to live independently and have real choice about the way they live their lives.

Wirral's aspiration is to ensure that all people with learning disabilities and their families have a fulfilling life of their own that includes opportunities to work, study and enjoy social and leisure activities.

The LATC will work with service users and carers to build a system of day care, support and opportunities that is designed with their full involvement and tailored to meet their needs.

In particular this will focus on:

- Maintaining a good quality of life – the LATC will be focused on delivering quality provision under financial constraint and will provide a market leading role to improve innovation and quality amongst other market providers.
- Promoting an active and productive lifestyles – the LATC will be flexible and innovative to meet service user aspirations born out of self-directed support, enabling people a greater ability to be more independent and able to lead more productive lives.
- Providing lower level early intervention and prevention services – the LATC will provide access to timely, quality activities and services, working with voluntary organisations and local communities.
- Promoting social inclusion – the LATC will focus on preventing people with a learning disability and / or physical disability from becoming socially excluded, relieving the needs of those people who are socially excluded and assisting them to integrate into society.
- Co-design and co-production with service users and their carers – the LATC will bring commercial expertise and instil a culture of creativity and innovation within the organisation that will lead to the development of new services more aligned to individual aspirations.
- Helping the most vulnerable – the LATC will continue to deliver services to Wirral's most vulnerable people and will allow the Council to adhere to its statutory requirement of provider of last resort.

## Priorities

The Corporate Plan for 2014-2016 was agreed at Council on 2 December 2013.

Crucially, the plan will ensure that the priorities identified will be underpinned by a sustainable budget over the next two years and can be delivered within resources available to the Wirral.

The Corporate plan cites:

*“Wirral will be a place where the vulnerable are safe and protected, where employers want to invest and local businesses thrive, and where good health and an excellent quality of life is within the reach of everyone who lives here”*

In reality the Corporate Plan sets out the Council’s vision, strategic objectives, medium term aims and one year improvement priorities alongside a framework for delivery. It provides the strategic direction for departments which are responsible for delivering the Council’s objectives through their departmental plans.

Effective service planning and financial planning are essential to the delivery of the objectives in the Corporate Plan. The medium term financial strategy of any new proposed LATC will support the Corporate Plan by giving a longer term overview of the financial issues. This helps with the allocation of the resources needed to deliver the Council’s objectives and priorities.

The next phase of work including business transition planning and price modelling will test out the new way of working alongside the overall ambitions for the new LATC.

The Council does recognise that it is on a pathway of improvement requiring it to change virtually every aspect of its operation; from corporate governance arrangements and service delivery models to organisational design.

Two major themes of the Corporate Plan include

- Local Solutions, Local Decisions
- Promoting Independence

Both of these support a new delivery concept within day services, day opportunities and the proposed LATC.

## Adaptability and Development

### Trend Analysis

Day services and day opportunities must adapt to demographic pressures alongside increasing personalisation in order to remain viable. Financial constraints mean that these services have high MTP commitments, which demand an ambitious and innovative approach.

The LATC will bring commercial expertise and instil a culture of creativity and innovation within the organisation that will lead to the development of new services more aligned to individual aspirations.

Day Opportunity Centres will become community hubs with flexible space that allows the local community to utilise this and create more inclusive service provision. The LATC will provide the innovation and commercial expertise to ensure these assets are used by communities. It will engage proactively with the mixed economy of providers to develop a culture of collaboration, including opportunities for community health services to provide clinics within the hubs as well as space to develop the public health agenda within local communities. They can also provide space for third sector organisations to provide important added value universal services close to where people live.

The LATC will work in collaboration with NHS partners and seek out opportunities for health and social care service integration. This will enable the LATC will provide a new conduit to deliver community health services and enable greater integration of health and social care services. The LATC will pursue opportunities to win business from Health and to offer integrated health and social care provision.

The LATC will offer the Council the opportunity to explore the inclusion of additional services which extend along the care pathway. The moving away of care management from direct local authority provision is one of the tenets of the Care and Support Bill. The LATC provides an appropriate vehicle for the delivery of care management services, combining a level of independence with retained Council control.

The current learning disability service market within the Wirral lacks diversity. The LATC will seek opportunities to develop services which do not simply duplicate provision which already exists within the borough, but which provide choice and flexibility.

The LATC will support the development of a local specialised support market, resulting in greater choice and flexibility for service users, developing evening social activities and weekend activities.

Leisure facilities may see an increase in demand as service users use their budgets for services other than day centres.



## Opportunities and Risks

### SWOT Analysis

As with any transfer of services there will be both opportunities and risks. Given that the analysis of the service at this stage has not developed any detailed financial sensitivity or modelling it remains important that some broad principles associated with new delivery models in particular around Local Authority Trading Companies (LATC) are considered.

Transfers of this type are complex in nature, and further consideration of a range of issues would normally be provided when developing the Outline Business Case, including:

- Vires
- Financial modelling – including funding mechanism
- Risk analysis
- VAT analysis
- Approvals and procurement routes
- NNDR savings analysis (application of Council Policy and Savings realisation)
- HR / TUPE considerations
- Governance and company form
- Service Outcome requirements and Business Planning
- Delivery Plan

Listed below are a selection of the outline strengths; weaknesses; opportunities and threats associated with setting up and operating a LATC.

### Strengths and Opportunities

- Wirral Council would remain in control via company ownership and hold up to 100% representation on the main board.
- Initial savings can be delivered quickly, with further savings potential in future years (there is evidence to suggest that a combined broader scoped controlled company could save greater costs in the short term).
- The scale of a combined learning disability and leisure controlled company would be able to generate further savings and maximise income by combining skills, experience and resources. In addition it would be capable of growth and versatility to accommodate new services and facilities.
- Wirral Council would retain the operational control over the facilities and management of the services.

- The company would be a Non-Profit Distributing Company retaining the Public sector ethos.
- As controlled by Wirral Council; the Council does not then have to follow EU procurement and tendering arrangements as it is compliant with the 'Teckal' test.
- The company would support the wider council's ambitions by ensuring its reserves policy when formed is able to support long term business employment opportunities in the Wirral.
- There is a necessity to include a 'community interest statement', and an 'asset lock' - a legal promise stating that the company's assets will only be used for its social objectives. This will be tested during the development of an Outline Business Case.
- The company would safeguard pension rights of staff in any transfer of control.

### Weaknesses and Threats

- The option of transferring services is not a perfect solution and does act as a quick fix to resolve all possible financial issues e.g. the Council still has to find money to repair and keep buildings in good condition. This can constitute a not insubstantial challenge for a Council with older facilities in need of investment.
- The Council does not negate 'trading risks' and if the company is struggling to compete e.g. ability to attract new clients with direct payments to cover the cost of provision, then they will have recourse to public funds through the council.
- There are costs of time and money to set up any new company, and in the first year this can possibly offset any savings. There can also be 'new costs', such as external auditors that may not have been foreseen.
- Not all of these arrangements succeed and often this failure is because the Council and the new company disagree over levels of funding or because of a conflict between the Managing Director, the Board of Directors and other Council officers and members.
- The company usually 'buys back' support services from the Council for a period of time. However, the company may find that they can buy some of these services at lower cost elsewhere, resulting in the Council having to review their corporate services.
- Local people may perceive the Council is privatising services. However, it has been found that local people are more interested in what happens in the facilities, how good the service is, and how much it costs and are less concerned with who employs the staff.
- The Council will have to deal with the Board of a company that is technically independent, but ultimately the Council holds the balance of power.

## Management and Governance

### Company Structure

The initial scoping of this work suggests the proposed structure of the LATC complies with the Teckal exemption, since the LATC will be wholly owned and controlled by Wirral Council. The Teckal exemption will allow the Council and the LATC to use each other's services using formal contract arrangements without conducting a procurement process. The conditions of the Teckal exemption are:

- The LATC must carry out the principal part of its activities with the Council
- The Council must exercise the same kind of control over the LATC as it does over its own departments
- There must be no private sector ownership nor any intention to introduce such ownership

The risk of a challenge on state aid grounds (when any public body gives financial support to another organisation) is considered to be very low because an exemption to state aid applies where the Council are financing public sector obligations. This will apply in the case of the LATC where the majority of the work carried out by the LATC will be on behalf of Wirral Council. The state aid rules apply throughout the life of the LATC and therefore the legal issue of state aid should be reviewed, particularly when the LATC undertake bids for other work.

The size of potential additional revenue generated through trading with third parties should be taken into account when considering the addition of new services. The suggested limit for non-Council trading activities, to remain Teckal compliant, is 10%. There is a new EU procurement directive which is expected to come into force by 30 June 2014 at the latest which will require at least 90% of the LATC's activities to be carried out for the Council or for other bodies controlled by the Council. This will therefore limit the activities carried out by the LATC for third parties to 10% of total turnover. There is discussion about changing these regulations to 20/80% although there is no confirmation of this as yet. This can be reviewed on the establishment of the LATC but it would be expected that the LATC would work within this rule pending the implementation of the directive. This will be tested throughout the outline business case work we will progress during March/June 2014.

If the additional services are likely to generate revenue with third parties that exceed the Teckal trading ceiling, then LATC will be taken out of the Teckal exemption, requiring all services delivered to the Council to be competitively tendered.

However, the Council could choose to incorporate the services in a separate trading arm that sits outside of the LATC. It could use the same governance mechanism as the LATC, i.e. reporting quarterly to members, but would be a completely separate entity, with accounts and tax treatment distinct from the LATC. Again we intend to model this throughout the transition stage.



## Management and Governance

Shareholder governance is an essential component in creating a LATC in order to ensure that the requirements of the Teckal Exemption are satisfied (i.e. the need for the Council to exert control and influence over the Company).

There is a need however, to achieve a balance between the Council's 'control and influence' and the space the Company needs to be able to develop. It is possible that too close control and influence will create the risk of recreating a Council Directorate and not enough may mean that the Council cannot demonstrate the control required. This would need further modelling throughout the next phase of work.

The LATC will require a Management Board which oversees the business. As outlined it is assumed that the LATC is a primarily a day care services delivery vehicle, and hence it is recommended the Management Board is set up ensuring a balance between commercial and social care knowledge and experience.

The Management Board will be:

- Legally accountable to the shareholder (the Council) for the operations of the Company;
- Responsible for setting the strategy and operational decisions to meet the objectives of the Company as set out in the Memorandum and Articles of Association and Shareholder Agreement

The Board structure will reflect the commercial nature of the LATC. The proposed composition of the Board at set-up of the company will be tested throughout the next phase of work but initial views reflect a composition of:

- Independent Chair (part/time);
- Managing Director;
- Finance and Commercial Director; and
- 2/3 part-time Non-Executive Directors (could potentially include a service user representative)

The structure of the Company Board has to be future-proof. For example, if there is the likelihood or potential that the Council may want to consider other Council services for inclusion in the LATC, the Board and in particular the Managing Director would need to have a skill-set that can manage diversity in the portfolio and therefore this should be seen as an investment in the future rather than a cost now. There may also be opportunities to include other services, such as leisure and cultural facilities, health, within the LATC and therefore the board structure may want to reflect partner representations.

The hybrid nature of the Company, independent but owned by the Council, means that it may be helpful that one or more members of the Management Board provide a combination of previous experience from both commercial and local authority backgrounds.

This will assist in the transition of moving the business from a Local Authority culture to providing the commercial focus that will be required and will be achieved by external appointment and internal transfer. However providing the Company with a commercial focus will facilitate the significant culture change that is required for the company to succeed.

The Management Board should report to a nominated council committee on a quarterly basis. This will be determined during the next phase of work. It will report on its performance, budget, strategy, investment plans and apprise the Council of any impending legislation or regulatory changes that will impact its services.

The details of the Company's governance will be set out in the Memorandum and Articles of Association. This will be an important document to ensure that the Council's expectations of the Company are clearly articulated. Again this will be undertaken during the outline business case and transition stage.

Whilst the focus of the implementation of a LATC will be on the forming of the Company it is also important to ensure that the relationship between the shareholder and the commissioner is clearly articulated as this is where the value will be secured for the whole of the Wirral. Further more detailed work will be necessary to develop this further as part of the overall Outline Business Plan to be articulated during the next transition stage.

## Forecast Savings

### Financial Projection Plan

The development of a LATC should not be seen as primarily a cost cutting venture but it is about services being able to be flexible, accessible, responsive and approachable. However there is scope for savings by stream lining management structures and back office systems, creating more flexible job descriptions and by addressing sickness levels and staff turnover all of which are shown to improve when staff feel more valued and involved, as is often the case with LATCs.

Initial indicative assessments of financial projections for 2013/14 show that the total gross expenditure for day centres will be approximately £5.9 million. During the development of a LATC in 2014/15 this expenditure will reduce to £5.4 million and reduce further on the establishment of a LATC in 2015/16 to £4.2 million.

Day Services	Projected Cost		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Cambridge Road Day Centre (LD/PD) <sup>1</sup>	655,100	600,376	454,367
Eastham Centre (LD/PD)	774,359	713,242	572,009
Heswall Centre (LD/PD)	949,012	874,207	687,810
Highcroft (LD/PD)	718,076	683,690	477,358
Moreton Centre (LD/PD)	542,196	520,183	345,657
Pensby Wood (LD/PD)	533,913	481,441	392,464
Best Bites (LD/MH)	1,139,859	976,632	844,128
Dale Farm (LD/MH)	263,501	247,426	183,564
Royden Project Day Care (LD/MH/PD)	183,062	152,003	127,339
Star Design (LD/MH)	162,085	133,767	92,552
MASQUE Theatre (LD/MH)	48,907	45,514	38,578
<b>Total</b>	<b>5,970,070</b>	<b>5,428,485</b>	<b>4,215,831</b>

These expenditure reductions are predicated on a number of assumptions. These are:

- An increase in the staff productivity by approximately 10% in 2014/15 and 15% in 2015/16 will be achieved during the development phase (2014/15) by streamlining management arrangements, addressing sickness levels and rationalising staff rotas and shift patterns.
- Reducing agency staff levels where applicable.

<sup>1</sup> LD – Learning Disability, PD – Physical Disability, MH – Mental Health

- The costs of premises i.e. lease arrangements remains unaltered during 2014 – 2016.
- The LATC is able directly purchase supplies and services for the day centres, outside of the Council's procurement arrangements.
- The LATC is able directly purchase transport services from independent providers and / or negotiate rates with the Council's transport unit.
- The LATC is able to directly purchase building maintenance services for the day centres and / or negotiate rates with the Council's facilities management service.
- The LATC is able to directly purchase corporate support services for the day centres and / or negotiate rates with the Council's corporate centre.

Initial indicative assessments show that efficiency savings of £541,585 are able to be generated in 2014/15, with a further £671,068 in 2015/16. In total the savings equate to £1,212,653 over the two year period.

### Predicted Efficiency Savings

Day Service	Predicted Efficiency Savings	
	2014/15 (£)	2015/16 (£)
Cambridge Road Day Centre (LD/PD) <sup>2</sup>	54,724	146,008
Eastham Centre (LD/PD)	61,116	141,233
Heswall Centre (LD/PD)	74,805	186,397
Highcroft (LD/PD)	34,386	206,332
Moreton Centre (LD/PD)	22,012	174,525
Pensby Wood (LD/PD)	52,473	88,977
Best Bites (LD/MH)	163,228	132,503
Dale Farm (LD/MH)	16,074	63,862
Royden Project Day Care (LD/MH/PD)	31,057	24,664
Star Design (LD/MH)	28,317	41,21
Masque Theatre (LD/MH)	3,392	6,935
<b>Total</b>	<b>541,585</b>	<b>1,212,653</b>

There will be minimal change to day services and day opportunities during implementation and the establishment of the LATC (2014/15 and 2015/16). A period of stabilisation will be required during the first year of operation before service development can begin to truly transform.

<sup>2</sup> LD – Learning Disability, PD – Physical Disability, MH – Mental Health

## Additional Opportunities for Savings

## Additional Opportunities for Savings

### Identification of Additional Areas

In the light of the financial pressures facing Wirral Adult Social Services to deliver year on year savings and efficiencies it is recommended that Wirral Council reviews all services to determine the potential opportunities to provide these services in a different way in the future.

Within the next five years the size of the provider budget is likely to reduce and this cannot be achieved without having the flexibility to develop a more financially sustainable model which can generate new business that the local authority does not have the powers to do.

During the time allocated to the review of a new service delivery model for day services and day opportunities it has not been possible to review other complementary services. However, the following services could be considered when developing the Outline Business Case for the LATC.

### Early Intervention and Prevention Services

The purpose of early intervention is to work in partnership to improve outcomes for individuals with disabilities and their families. Early intervention requires a shift in focus onto the causes rather than the symptoms of problems. Investment in prevention and early intervention has been proven to reduce the demand on specialist services in the longer term.

### Short Breaks

A short break can support family carers to have time for themselves and to take a break from caring. Short breaks can also support the individuals with disabilities to try new things, form new friendships and in some circumstances start to prepare for greater independence.

### Respite Care

Respite provides a break for carers and for individuals with disabilities from their usual routines in order to improve their quality of lives and support their friendship. Early intervention and regular breaks help to keep families together and sustain carers in their long term caring role. Without this care, many people would be at risk, their quality of life would be poor and they may require admission to permanent care.

### Shared Lives

Shared lives works when a family or individual shares their family and community life with someone who needs some support to live independently. A shared lives carer and someone who needs support get to know each other and, if they both feel that they will be able to form a long-term bond, they share family and community life. This may mean that the individual becomes a regular daytime or overnight visitor to the carer's home or they may even move in permanently.

### Home Share

Home share is similar to shared lives in that a homeowner welcomes an individual to live in their own home. Home share matches up the people who have their own home and who have developed some support needs or are anxious about living alone with somebody who cannot

afford housing. Home share is not a scheme that has been utilised to date in Wirral but there are clear benefits for:

- Disabled people who need support to move towards or maintain independent living
- Family carers who are struggling with isolation or who juggle work and caring

### Supported Living

Supported Living is a service aimed at enabling people to live in their own home and receive care and support in order to promote their independence. It aims to enable the person to be as autonomous and independent as possible, and usually involves social support rather than medical care.

The emerging model in Wirral is a move away from traditional residential care towards flexible support to promote independence. This is evidenced by number of residential care homes previously registered to provide care to people with a Learning Disability having now deregistered to provide a supported living service.

### Potential Savings and Improvements

Since the inception of personal budgets there has been growing incidences of groups of young people pooling their resources to commission care to help maintain their independence. The impact of this for the LATC and other providers relates mainly to self-promotion and how they can attract business in an increasingly competitive market place.

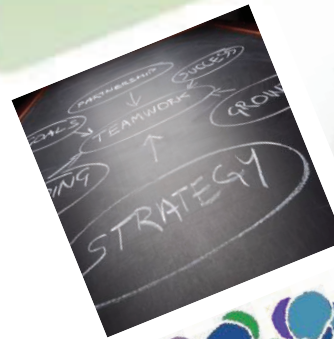
It is crucial that the LATC and other providers adopt a flexible approach to allow individuals to customise care and support packages to their individual needs rather than offering a prescriptive service. For the LATC to capitalise on this then it must be able to provide a full range of services to support the needs of individuals with disabilities.

During the time allocated to the review proposal of a LATC it has not been possible to complete an in depth analysis of the services mentioned above and any impact of the transfer of these into the LATC.

### Recommended Actions

It is recommended that the Council reviews each of the above services during the development of an Outline Business Case for the LATC to determine whether there are additional efficiencies and service improvements than could be achieved.





## Recommendations



## Recommendations

### Recommendations

It is recommended that Wirral Council present this report at the March Cabinet seeking approval in principle to the development of the LATC.

Following approval it is recommended that the Council develop a project team to:

- Complete due diligence, defining the strategic direction of the LATC
- Develop the proposed company governance and management arrangements
- Specify the support services required by the LATC
- Complete the Outline Business Plan for review and approval at the July Cabinet.

Following approval at the July Cabinet work should progress on implementation of the LATC, including developing and transferring supporting systems and processes, implementing the governance structure and recruiting the senior management. Staff, unions, service users and other key stakeholders will be consulted and engaged with as part of this process.



# Conclusion

## Conclusion

### Conclusion

We have reviewed key documents and are beginning to develop a Strategic Business Case setting out a clear rationale for the establishment of a LATC that will deliver sustainable services whilst meeting MTP savings. The Council has set recently a further savings target of £45million over the 2015/17 period which represents nearly 18% of the overall Council's net revenue Budget of £270m. Given this context it is even more imperative there is clear recognition that further due diligence on the development of an outline business plan for any proposed LATC is necessary. We forecast a phased approach to this work including transition planning and clear financial modeling. This will lead to an Outline Business Plan (OBP) that draws together key documents that will have been produced as part of the first phase of the LATC implementation process. The OBP would contain the following sections:

- LATC alignment to the Council's strategic objectives: describes how the LATC meets the Council's strategic objectives, both initially and as it develops.
- Governance and Management: describes the company structure, governance arrangements, relationship with the Council and key personnel job specifications.
- Support Service Specifications: sets out the Design principles for support services and outline specifications given current costs incurred by the service which seems high set at 30% of business turnover
- LATC Financial Projections: this will set out the outcome of the due diligence work compared to original business case, a revised company P&L, cash flow and balance sheet.
- Further due diligence on the financial projections of each of the services in scope
- Tax advice on the proposed structure and the most efficient way of operating this Council controlled company.
- Established a LATC Project Board with workstream leads from the service and each support service
- Workshops with Team Managers to develop business propositions and agree revenue generation assumptions based on Personnel Budgets

The detailed design of the LATC, including arrangements for the organisational, governance and management structure, the design of the support services function, establishment of the Council's Commissioning Statement, and due diligence of the financial position particularly in relation to new or reconfigured service areas will be a focus of the next phase of work (approx. 10-12 weeks).



## Appendices

## Appendix 1

### List of Key Documents Reviewed

<b>Wirral Council</b>	
Advice Re Shared Services	Wirral MBC Market Position Statement
Appendix A – Consultation Report1	H Hayes – DP-PB Expenditure 12-13 and 13-14
Copy of Day Services – Sept 2012	Best Bites Report
CP Report on staffing implication to Social Enterprise Nov 2013	Social Enterprise Development 13-03-14
Day Services – Sept 2012	Revenue Budget 2014_2017 Appendices 1
List of staff 241013 Sara Morris Oct 13	Capital Programme and Financing 2014-2017
Provider Services Business Case	Month 8 Tabs
Provider Services Business Case for Improvement	Copy of Budget Estimates for Condition Survey with On costs
Provider Services Review – Key Decision 1	Jan 29 <sup>th</sup> Strictly confidential NewCo Wirral
Review of Day Services cost summary from Sara Morris Oct 2013	Visio-DASS New Org Jan 2014
Social Enterprise Development 101213 REVISED (2)FINAL	Dass Estab (CPOct 2013) V5 inc Sickness
Staff Profile Appendix A Nov 2013	Pensions Info from CP Meeting MS
Analysis of Age, Length of Service, LGPS, etc...	Pensions Info for 4 Options Oct 2013
Prevention and Early Intervention Comm Plan 12 <sup>th</sup> April 203	LD Commissioning Plan – March 2013
<b>Non-Council</b>	
WMBC – Advice on establishment of a company to provide adult social care (Eversheds)	
<b>Other Resources</b>	
<a href="http://www.poppi.org.uk">www.poppi.org.uk</a>	<a href="http://www.pansi.org.uk">www.pansi.org.uk</a>
<a href="http://www.nascic.hscic.gov.uk">www.nascic.hscic.gov.uk</a>	<a href="http://www.hscic.gov.uk">www.hscic.gov.uk</a>
<a href="http://www.ons.gov.uk">www.ons.gov.uk</a>	<a href="http://www.charitycommission.gov.uk">www.charitycommission.gov.uk</a>
<a href="http://www.england.nhs.gov.uk">www.england.nhs.gov.uk</a>	<a href="http://www.autistic.org">www.autistic.org</a>
<a href="http://www.sharedlivesplus.org.uk">www.sharedlivesplus.org.uk</a>	

## Appendix 2

### List of Key Stakeholder Interviews

#### Wirral Council

Clare Fish, Strategic Director Families and Wellbeing

Graham Hodgkinson, Director Adult Social Services

Christine Beyga, Head of Delivery

Janice Fryer, Senior Manager Delivery

Lorraine Moran, Strategic Operational Manager

Carol Pilgrim, Human Resources Officer

Jenny Spick, Senior Manager Financial Services

#### Cheshire West and Chester Council

Alistair Jeffs, Strategic Commissioning

Karen Macaulay, Legal Services

#### Non-Council

Frances Woodhead, Eversheds

Jackie Head, Eversheds

Claire Hardy, Eversheds

## Appendix 3

## Financial Analysis

Cambridge Road Day Centre	Predicted Expenditure		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Employees	378,664	340,798	283,988
Agency	16,174		
Premises	16,193	16,193	16,193
Transport	594		
Supplies and services	7,085	7,085	7,085
Third party payments	90		
Transfer payments			
Recharge – transport	131,300	131,300	65,650
Recharge – support	9,500	9,500	28,400
Recharge – management	16,400	16,400	
Recharge – inter-departmental	50,700	50,700	25,350
Capital financing - depreciation	28,400	28,400	28,400
<b>Total</b>	<b>655,100</b>	<b>600,376</b>	<b>454,367</b>



Eastham Centre	Predicted Expenditure		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Employees	517,263	465,536	387,947
Agency			
Premises	19,819	19,819	19,819
Transport	3,833		
Supplies and services	20,387	20,387	18,348
Third party payments	85		
Transfer payments	5,472		
Recharge – transport	45,600	45,600	22,800
Recharge – support	11,400	11,400	38,794
Recharge – management	29,700	29,700	
Recharge – inter-departmental	73,000	73,000	36,500
Capital financing - depreciation	47,800	47,800	47,800
<b>Total</b>	<b>774,359</b>	<b>713,242</b>	<b>572,009</b>

Heswall Centre	Predicted Expenditure		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Employees	575,585	518,026	431,688
Agency	8,688		
Premises	27,299	27,299	27,299
Transport	2,069		
Supplies and services	30,782	30,782	27,703
Third party payments			
Transfer payments	6,489		
Recharge – transport	54,500	54,500	27,250
Recharge – support	18,300	18,300	43,168
Recharge – management	43,300	43,300	
Recharge – inter-departmental	102,600	102,600	51,300
Capital financing - depreciation	79,400	79,400	79,400
<b>Total</b>	<b>949,012</b>	<b>874,207</b>	<b>687,810</b>



Highcroft	Predicted Expenditure		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Employees	341,988	307,789	256,491
Agency			
Premises	12,775	12,775	12,775
Transport	187		
Supplies and services	2,826	2,826	2,826
Third party payments			
Transfer payments			
Recharge – transport	248,900	248,900	124,450
Recharge – support	11,300	11,300	25,649
Recharge – management	18,100	18,100	
Recharge – inter-departmental	53,100	53,100	26,550
Capital financing - depreciation	28,900	28,900	28,900
<b>Total</b>	<b>718,076</b>	<b>683,690</b>	<b>477,358</b>

Moreton Centre	Predicted Expenditure		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Employees	125,462	112,915	94,096
Agency			
Premises	30,505	30,505	30,505
Transport	203		
Supplies and services	6,163	6,163	5,546
Third party payments			
Transfer payments	9,263		
Recharge – transport	69,400	69,400	34,700
Recharge – support	20,300	20,300	9,409
Recharge – management	50,800	50,800	
Recharge – inter-departmental	117,400	117,400	58,700
Capital financing - depreciation	112,700	112,700	112,700
<b>Total</b>	<b>542,196</b>	<b>520,183</b>	<b>345,657</b>

Pensby Wood	Predicted Expenditure		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Employees	338,391	304,552	253,793
Agency	16,645		
Premises	22,270	22,270	22,270
Transport	17		
Supplies and services	16,319	16,319	14,687
Third party payments	177		
Transfer payments	1,795		
Recharge – transport	15,500	15,500	7,750
Recharge – support	8,100	8,100	24,364
Recharge – management	20,100	20,100	
Recharge – inter-departmental	50,000	50,000	25,000
Capital financing - depreciation	44,600	44,600	44,600
<b>Total</b>	<b>533,914</b>	<b>481,441</b>	<b>392,464</b>

Best Bites	Predicted Expenditure		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Employees	865,289	778,760	648,966
Agency	28,088		
Premises	12,301	12,301	12,301
Transport	4,545		
Supplies and services	97,571	97,571	87,813
Third party payments			
Transfer payments	44,066		
Recharge – transport			
Recharge – support	10,600	10,600	64,896
Recharge – management	17,100	17,100	
Recharge – inter-departmental	60,300	60,300	30,150
Capital financing – depreciation			
<b>Total</b>	<b>1,139,860</b>	<b>976,632</b>	<b>844,128</b>

Dale Farm	Predicted Expenditure		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Employees	154,106	138,695	115,579
Agency			
Premises	3,088	3,088	3,088
Transport	495		
Supplies and services	4,043	4,043	3,638
Third party payments			
Transfer payments	169		
Recharge – transport	48,400	48,400	24,200
Recharge – support	5,900	5,900	11,557
Recharge – management	8,900	8,900	
Recharge – inter-departmental	25,800	25,800	12,900
Capital financing - depreciation	12,600	12,600	12,600
<b>Total</b>	<b>263,501</b>	<b>247,426</b>	<b>183,564</b>

Royden Project Day Care	Predicted Expenditure		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Employees	142,562	128,305	106,921
Agency			
Premises	178	178	178
Transport	4,252		
Supplies and services	2,220	2,220	2,220
Third party payments	250		
Transfer payments	12,299		
Recharge – transport	3,000	3,000	1,500
Recharge – support	1,700	1,700	10,692
Recharge – management	4,500	4,500	
Recharge – inter-departmental	12,100	12,100	6,050
Capital financing - depreciation			
<b>Total</b>	<b>183,061</b>	<b>152,003</b>	<b>127,339</b>

Star Design	Predicted Expenditure		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Employees	61,636	55,472	46,227
Agency			
Premises	12,476	12,476	12,476
Transport	13,778		
Supplies and services	7,419	7,419	6,677
Third party payments			
Transfer payments	8,376		
Recharge – transport			
Recharge – support	8,000	8,000	4,622
Recharge – management	10,700	10,700	
Recharge – inter-departmental	34,300	34,300	17,150
Capital financing - depreciation	5,400	5,400	5,400
<b>Total</b>	<b>162,085</b>	<b>133,767</b>	<b>92,552</b>

Masque Theatre	Predicted Expenditure		
	2013/14 (£)	2014/15 (£)	2015/16 (£)
Employees	33,933	30,539	25,449
Agency			
Premises	8,066	8,066	8,066
Transport			
Supplies and services	409	409	368
Third party payments			
Transfer payments			
Recharge – transport			
Recharge – support	600	600	2,544
Recharge – management	1,600	1,600	
Recharge – inter-departmental	4,300	4,300	2,150
Capital financing - depreciation			
<b>Total</b>	<b>48,907</b>	<b>45,514</b>	<b>38,578</b>

## Appendix 4

### National Context

The following legislation provides public service commissioners with the context and scope to consider alternative service delivery models.

- General Power of Competence, which came into effect in April 2012 within the Localism Act gives Councils a new freedom to act in new ways to drive down costs and meet local people's needs, as long as it's not prohibited by law;
- The Public Services (Social Value) Act (2012) requires public services to consider how the economic, social and environmental wellbeing of an area would be improved by the commissioning of a service.
- The Health and Social Care Act 2012 puts clinicians at the centre of commissioning, frees up providers to innovate, empowers patients and gives a new focus to public health. The Act contains a number of provisions to encourage and enable the NHS, local government and other sectors, to improve patient outcomes through far more effective co-ordinated working. The Act provides the basis for better collaboration, partnership working and integration across local government and the NHS at all levels.

Additionally, a number of Government and Department of Health publications and policy announcements have also provided support for the development of health service providers in the market place.

- Department of Health (2008) – 'Right to Request' -

The Department of Health's programme aimed at enabling its staff to take the lead in leaving the NHS - or 'spinning out' - to set up health social enterprises. These are independent bodies delivering services, previously provided in-house, under contract to Primary Care Trusts.

Those social enterprises launched as recently as April 2011 strictly speaking having no track record. However, it can be said that the Department of Health has not set measurable objectives specifically for the Right to Request Programme against which to evaluate its success. PCTs expected social enterprises to deliver more benefits than other providers, but did not generally contract for them to deliver savings or any other additional benefits.

- Department of Health – A Vision for Adult Social Care

In November 2010, following the Spending Review, the Coalition Government released a Vision document for Social Care, outlining how they see the sector progressing with the values of Freedom, Fairness and Responsibility underpinning it. The Vision document essentially reinforces the tenets of 'Putting People First', and explains the areas which require reform and improvement in the changing context.

There are seven principles which are outlined in the Vision: the seven P's as follows:-

- Prevention
- Personalisation
- Partnership
- Plurality
- Protection
- Productivity
- People

In light of the efficiency programme, 'Prevention' will be particularly crucial in order to reduce or ultimately halt the growth in expenditure on adult social care services.

In July 2011, the Government published the Open Public Services White Paper, an agenda driven by the Government's desire to make sure that everyone has access to the best possible public services.

The aim of the Open Public Services (OPS) White Paper was to set out the Government's programme for public services over the next few years driven by a comprehensive policy framework across public services based on the key principles of increasing choice, decentralising services, opening services to a range of providers, ensuring fair access and accountability to users and taxpayers.

A key driver of this strategy is to improve quality for all and particularly for the most vulnerable, by opening up public services and targeting funding at the most disadvantaged.

In 2010 White Paper, 'Equity and Excellence: Liberating the NHS', the Government announced that Clinical Commissioning Groups (CCG's) - groups of GPs - will, from April 2013, be responsible for designing local health services in England. They will do this by commissioning or buying health and care services including: Elective hospital care; Rehabilitation care; Urgent and emergency care; Most community health services; Mental health and learning disability services.

In short, the national context within which public service delivery is being transformed:

- Reducing public sector purse
- Growing demographic pressures
- Wider private market, co and self-funding
- Personalisation and the use of personal budgets
- Big society and redefining the role of the state
- New powers including freedom to trade

## Shared Service model with Cheshire West and Chester Council

### Cost savings

- Efficiency time and resources – through eliminating duplication of activity and sharing costs across organisations
- Agility - the dedicated unit is able to respond quickly to changes and new demands as it is semi-autonomous
- Improving overall service opportunity to share learning, technology and innovation.

### Potential Business Models

Exploration focused upon the most appropriate business models.

**Model 1** – Would entail the established CW&C Trading Company to be the prime contractor holder and to then sub contract to Vivo – Wirral/Cheshire

Governance would involve WMBC setting up a board to run the sub company in addition to representation on the Trading Company board

**Advantages** – Ability to have decision making focus on Wirral services – reassurance for citizens and politicians

**Model 2** - Wirral 'joins' CW&C Trading Company as a shareholder.

**Advantages** – Shared Service with established company/Economies of scale

**Disadvantages** - Disparity of operational balance would mean that Wirral would be a minority holder/decision maker

Model 1 was deemed to be the preferred business model between the two available. The evaluation of the shared services model in relation to feasibility showed that it was a potential option that could be pursued further

The Shared services option met the criteria for the business case:

- **Finance** – could achieve savings required
- **Strategic Direction** – enables shift from provider to commissioner
- **Cost/benefits** – shared cost savings/efficiencies
- **Legal Implications** – TUPE – less disruptive option for staff
- **Service delivery** – would enable improvements to service which leads to better outcomes for people
- **Sustainability** – could enable a stronger future together for both councils







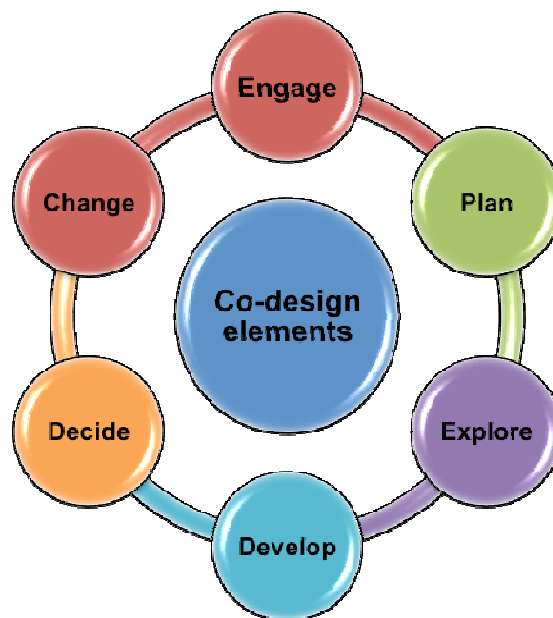
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## Appendix 3

### Co-design Principles

**Co-design elements** - There are six elements of co-design that will form the structure of the group working and provide the guiding principles of the project, these are as follows:

- **Engagement** - Establishing and maintaining meaningful relationships with people to understand and improve health and social care services. This critical element underpins all improvement work and is continuous throughout.
- **Plan** - Working with people and staff to agree the goals and establish how we will go about achieving them.
- **Explore** - Learning about and understanding people's experiences of services and identifying improvement ideas.
- **Develop** - Working with people to turn ideas into improvements that will lead to better experiences for people who use services
- **Decide** - Choosing what improvements to make and how to make them. Its success depends on an understanding of the customer journey and the insights about service improvement this offers.
- **Change** -Turning our joint improvement ideas into action. We will ensure that we make as many improvements in partnership with other stakeholders as we can.



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## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT:</b>	<b><i>FEES FOR RESIDENTIAL CARE AND NURSING HOMES - RESPONSE TO CONSULTATION</i></b>
<b>WARD/S AFFECTED:</b>	<b><i>ALL</i></b>
<b>REPORT OF:</b>	<b><i>GRAHAM HODKINSON</i></b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b><i>COUNCILLOR CHRISTINE JONES</i></b>
<b>KEY DECISION?</b>	<b><i>YES</i></b>

#### 1.0 PURPOSE OF REPORT

- 1.1 To report the outcome of consultation with care home providers with regard to 2014-15 care home fees.
- 1.2 To recommend the fees for 2014-15.

#### 2.0 BACKGROUND

- 2.1 Wirral care homes are a mix of purpose built homes and adapted large private houses. The Council's strategy for 2014-15 is to set fees that maintain capacity for people with dementia. The Council is not seeking to encourage growth in general residential provision as there is currently overcapacity in the residential market. The Council wants to see the development of viable alternatives such as extra care housing. There is however increasing demand for provision to respond to dementia and complex needs. This is reflected in the Council's Market Position Statement. Care home fees are set with due regard to providers' actual costs, the Council's duty to achieve best value, and other local factors.
- 2.2 The proposal is calculated using the Efficient Wirral Care Home model, as used in the last two years and further refined based on provider feedback. The model aims to make due allowance for actual costs and market returns. It is intended to calculate a fair and reasonable weekly rate for the four different categories of care home placement.
- 2.3 The chronology of arriving at the proposal is set out below.

<b>Chronology</b>	
29 <sup>th</sup> October 2013	Presentation to providers summarising key issues for 2014-15 fee setting and inviting actual cost returns in standard format
December 2013	21 actual cost returns received. The cost information represented approximately 20% of providers.

17 <sup>th</sup> January 2014	Provider forum to share 2014-15 fee proposals for further consultation following analysis of actual cost returns. The fee proposal put out for consultation populated the model by reference to objective costs data and professional judgment and experience. The full model and analysis of actual costs versus model released.
7 <sup>th</sup> February 2014	Final consultation closed.
28 <sup>th</sup> February 2014	Consideration of further evidence and comments completed.
6 <sup>th</sup> March 2014	Final proposal issued to providers
13 <sup>th</sup> March 2014	Cabinet consider fee proposal.
7 <sup>th</sup> April 2014	Subject to Cabinet agreement the new proposal is implemented for all categories of provision.

- 2.4 The rates offered in the proposal are summarised in the table below. The detailed calculations are provided in Appendix 1 to this report. It should be noted the 2014-15 proposals are based on forecasts of future costs. Wherever possible authoritative and independent sources have been relied on including HM Treasury, Office of National Statistics (ONS), and the Royal Institute of Chartered Surveyors (RICS).

Summary of 2014-15 Care Home Fee Proposal	Residential	Residential EMI	Nursing*	Nursing EMI*
2013-14	£397.00	£430.00	£433.00	£451.00
2014-15 now proposed	£402.00	£444.00	£436.00	£456.00
<b>Change 2014-15 v 2013-14</b>	<b>£5.00</b>	<b>£14.00</b>	<b>£3.00</b>	<b>£5.00</b>
In addition Wirral CCG will pay a fixed nursing contribution. For 2013-14 this was set at £109.79 a week. The amount for 2014-15 has not been determined.				

- 2.5 The rates offered in the proposal are rates for older people's provision. Consultation is continuing with Mental Health and Learning Disabilities residential providers. Fee proposals for these providers will be reported to Cabinet on 13<sup>th</sup> June 2014.
- 2.6 Appendix 2 shows how rates paid to care homes by Wirral in 2013-14 compare to other North West social services authorities. Comparisons are not available for 2014-15 because authorities have not yet set rates.

### 3.0 RELEVANT RISKS

- 3.1 The Council has shared the fee model and actual cost comparisons with providers. It has responded to the issues raised during the consultation period reflecting on the proposed changes and stating the reasons for its decisions. Accordingly the final proposal is reasonable and well considered.
- 3.2 The Council has endeavoured to maintain a considered balance between best value and local factors, quality and meeting need. It seeks to ensure quality standards are maintained whilst at the same time working to achieve best value.

#### 4.0 OTHER OPTIONS CONSIDERED

4.1 Not applicable.

#### 5.0 CONSULTATION

5.1 The sources of comments were:

5.1.1 Two provider fora were held during the consultation. The first was to request actual cost information and share preliminary views on key issues. The second was to reply to consultation comments at that stage and issue a fees proposal; the fee model; and a comparison of actual costs with model calculations. Providers were offered advice and support from Adults on how to operate the workbooks containing the information.

5.1.2 One to one sessions were offered to all providers with homes in Wirral.

5.1.3 Written or email responses

5.1.4 A visit to a residential home to discuss finance issues directly with a representative owner from the Wirral Care Homes Association Ltd. Some one to one sessions were also held directly with owners.

5.2 All comments received during consultation have been carefully considered by officers. Comments and the responses are summarised in the table below. A response has been provided to consultees as quickly as possible.

<b>Consultation issues</b>	
A provider operating two homes provided a calculation of costs £43 and £73 per resident week higher than the model	<p>The calculation included an additional overhead allowance of 16%. The Wirral model already recognises the overheads required to operate a home.</p> <p>Statistical variation around the model assumption would be expected over a range of homes. The model does not appear to be fundamentally inconsistent to providers' actual costs based on returns received.</p>
One provider pointed to recent increases in the rates paid to qualified nurses. The provider also questioned whether it was lawful for nursing costs to be excluded from the model on the grounds that they are payable by the NHS.	The contribution for funded nursing care is an NHS responsibility.

<p>Alison Castrey Limited questioned the proposed management and administration allowance on the grounds set out in the succeeding five rows(*):</p>	
<p>*The original base figures used in 2013-14 were wrong</p>	<p>The current consultation is for the 2014-15 rates. The model has been revised for this year's fee setting.</p> <p>The 2013-14 figures were reasonable and correct and were set taking account of all factors available at that time. They were approved by Cabinet in September 2013.</p>
<p>*The inflation index of 2% used was inappropriate. The National Minimum Wage is planned to increase from October 2014 by 10%. Actual inflation experienced by providers has not been taken into account by the Council in previous years.</p>	<p>The 2% is an HM Treasury forecast. If a significant increase proves to be made in the National Minimum Wage during 2014-15 the rates will be given further consideration. The current Wirral consultation is for the 2014-15 rates. A higher wage rate already applies for catering. Inflation was applied where appropriate in previous years and took account of actual cost information available at that time.</p>
<p>* The £10,000 addition made in 2014-15 is an arbitrary increase</p>	<p>The increase is made in response to comments made by providers in response to the 2013-14 settlement on the cost of externally purchased administration. The allocation for externally purchased administration now represents 30% of the internal provision assumption.</p>
<p>* The Council made no allowance for the provider's working time</p>	<p>It is not considered appropriate to make a separate allowance in the model. The return on business activity is a statistical measure that by definition comprises all aspects of return.</p>
<p>*The figure proposed did not match the survey data</p>	<p>The actual costs sample is not sufficiently at variance with the proposal to demonstrate the model is misconceived. The survey data provided wide variations both above and below the Wirral model. The model is intended to calculate a fair and reasonable weekly rate. It is not reasonable to expect the model to calculate an exact figure to match each individual home due to the varying business models for each home.</p>



<p>Alison Castrey Limited welcomed the inclusion of VAT on utilities, and repairs and maintenance. They are seeking full disclosure of the Royal Institute of Chartered Surveyors model used.</p>	<p>The Council is a subscriber to the service. The formulae underlying the model are not disclosed by the Royal Institute of Chartered Surveyors to subscribers. However the Council considers it is reasonable to rely on the model produced by this authoritative organisation.</p>
<p>Alison Castrey Limited questioned the return on business set at 15.7% on the grounds below (*)</p>	
<p>*Insufficient provision for loan repayments</p>	<p>It is not considered appropriate to make a separate allowance in the model. The return on business activity is a statistical measure that by definition comprises all aspects of return. An authoritative external source was used to derive this figure.</p> <p>It is impossible to calculate a standard figure for a parameter that varies so widely from proprietor to proprietor, and arises from individual business decisions.</p>
<p>*Insufficient provision for tax and provider time</p>	<p>It is not considered appropriate to make a separate allowance in the model. The return on business activity is a statistical measure that by definition comprises all aspects of return. An authoritative external source was used to derive this figure.</p> <p>It is impossible to calculate a standard figure for a parameter that varies so widely from proprietor to proprietor, and arises from individual business decisions.</p> <p>Some providers are not-for-profit.</p>
<p>*The survey data used for setting the return is two years old and the wrong category of the survey was used.</p>	<p>2011 is the latest available data. The category used is appropriate. The fee settlement incentivises certain categories of provision in accordance with the Market Position Statement, and this represents an additional return.</p>

Alison Castrey Limited commented that there was no provision in the model for homes' accumulated deficits	This is not considered to be a relevant consideration in the model as it is not an element of actual costs. The purpose of the current report is to set an annual fee for 2014-15. It is impossible to calculate a standard figure for a parameter that varies so widely from proprietor to proprietor, and arises from individual business decisions.
Alison Castrey Limited would regard 92% as a correct occupancy level.	The 95% assumption is reasonable. Some current vacancies are due to home suspensions. It is reasonable for the Council to set a limit on how far it will support empty places.

## 6.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

6.1 There are no direct implications for voluntary, community and faith organisations.

## 7.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS

7.1 The cost of additional provider payments in implementing the proposal is £0.405m in 2014-15. This can be contained within the £0.835m inflation growth allocated for Adults contracts in the 2014-15 budget.

7.2 The fees paid by Adults are used to determine client financial contributions in accordance with CRAG (Charging for Residential Accommodation Guide) issued by the Department of Health and local CRAG discretions as approved by the Cabinet. It will be necessary to revise the financial assessments of all clients in care home placements. Some clients' financial assessments will not increase in line with the fee increase. It is not expected there will be any significant variation in assessed client contributions.

## 8.0 LEGAL IMPLICATIONS

8.1 There have been a number of high profile judicial review cases where it has been held that local authorities have made unlawful decisions on care home fees e.g. because they have failed to conduct appropriate consultation or have set costs to meet budget targets. Alison Castrey Ltd act for five providers and have raised a number of concerns .The main concerns are summarised in the table at 5.2 and the concerns have been responded to by separate letter .

8.2 Under section 21 of the National Assistance Act 1948 ("the Act") and the Directions made under it and LAC 93 (10), the Council has a duty to arrange accommodation for adults who by reason of age, illness or disability or any other circumstance are in need of care and attention.

- 8.3 The National Assistance Act (Choice of Accommodation) Directions 1992 allows the Council to fix a maximum amount or “usual cost” that it is prepared to pay for particular types of residential care. Paragraph 3(b) states that the individual should be accommodated at a place of their choice (known as preferred accommodation) provided making arrangements at the individual’s preferred accommodation would not require the Council to pay more than they would usually expect to pay having regard to the individual’s assessed needs.
- 8.4 Statutory guidance given by the Department of Health in Circular LAC (2004) 20 provides that ‘in setting and reviewing their usual costs, councils should have due regard to the actual costs of providing care and other local factors. Councils should also have due regard to Best Value requirements under the Local Government Act 1999. Such requirements include the discharge of the Council’s functions having regard to efficiency and economy.
- 8.5 The Council is required to pay the amount it usually costs to meet the individual’s objectives set out in the needs assessment and care/support plan [less any means tested contribution]. The Council is not required to pay more than it would usually expect to pay, having due regard to assessed needs. More than one usual cost should be set where the cost of meeting specific needs is different.
- 8.6 In setting its fees the Council must comply with its duty under Section 149 of the Equality Act 2010 to have due regard to the need to eliminate discrimination, and advance equality of opportunity amongst elderly and disabled persons. The Council’s Equality Impact Assessment should therefore focus on the likely impact of its proposed fees on the quality of care for the elderly and disabled differentiating where appropriate between different groups and defining any steps that mitigate any possible adverse consequences e.g. closures of homes.

## 9.0 **EQUALITIES IMPLICATIONS**

- 9.1 The potential impact of the proposal has been reviewed with regard to equality and the equality impact assessments are included.

## 10.0 **CARBON REDUCTION IMPLICATIONS**

- 10.1 None.

## 11.0 **PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

- 11.1 There are no planning implications arising directly from this report.

## 12.0 **RECOMMENDATIONS**

- 12.1 It is recommended that Cabinet agrees the implementation of the final proposal as set out in 2.4.

## 13.0 REASONS FOR RECOMMENDATIONS

- 13.1 The Council must set fees that enable homes to meet the CQC Essential Standards of Quality and Safety Regulations 2010 and determine its usual cost.
- 13.2 The Council has reflected changes in prices in accordance with the 2013 iteration of the model and has done a sense check of its proposal via its Equality Impact Assessment.
- 13.3 The Council has taken into consideration the costs data supplied by and views of WCA Ltd and other home owners and believes its proposal is reasonable.

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## APPENDICES

Appendix 1 – detailed calculations  
Appendix 2 – fee comparisons

## REFERENCE MATERIAL

Comments from home owners during the discussions on the preliminary proposal held in Commissioning and Contracts Section DASS.

## SUBJECT HISTORY (last 3 years)

<b>Council Meeting</b>	<b>Date</b>
Cabinet - Fees for Residential and Nursing Home Care	November 2013
Cabinet - Fees for Residential and Nursing Home Care	20 December 2012
Cabinet - Fees for Residential and Nursing Home Care	18 October 2012
Cabinet - Fees for Residential and Nursing Home Care	2 February 2012
Cabinet - Fees for Residential and Nursing Home Care	11 March 2011

## Appendix 1

Wirral Model Factor	2013-14 Model	Changes for 2014-15	2014-15 Proposal
Management salaries and wages	£33,900.00	The 2013-14 model attracted a significant level of comments in this area. This reflected the varying patterns of administration delivery in homes. It is therefore proposed to make a single administration allowance. This will be based on the 2013-14 allowance increased for inflation plus an additional £10,000	Not used
Other administration salaries and wages	£14,443.20		Not used
Other administration externally purchased	£7,000.00		Not used
Management and other on cost rate	12%		Not used
Management allowance		New factor	£72,367.27
Catering hours per client per week	1.50	No change	1.50
Domestic hours per client per week	4.50	No change	4.50
Care hours per client per week residential	18.50	No change	18.50
Care hours per client per week residential EMI	22.00	No change	22.00
Care hours per client per week nursing	20.50	No change	20.50
Care hours per client per week nursing EMI	22.00	No change	22.00
Catering salary and wages	£7.00	2% Bank of England CPI inflation target	£7.14
Domestic salary and wages	£6.25	2% Bank of England CPI inflation target	£6.38
Care salary and wages	£6.57	2% Bank of England CPI inflation target	£6.70
Catering and domestic on cost	24.2%	No change Employer's NI 2013-14. No change statutory holiday pay allowance. For 2014-15 the employers who have reached the staging date for stakeholder pensions will have a largest PAYE payroll exceeding 50 staff. The minimum employer contribution is 1%. 0.1% was allowed in the 2013-14 oncost calculation. This has been increased to 0.5%	24.6%
Care on cost	24.1%	See above	24.6%
Care agency staff %	2.0%	No change	2.0%
Care on cost for agency backfill	11.2%	No change	11.2%
Agency staff enhancement	100%	Agency Premium of 100% of basic pay to cover the cost of Agency backfill	100%
Training backfill %	1.0%	No change	1.0%
Annual training cost per employee	£182	2% Bank of England CPI inflation target	£186
Annual allowance for recruitment cost	£1,500.00	2% Bank of England CPI inflation target	£1,530
BICS - Residential - Fabric	£355.20	Build Cost Information Service Life cycle cost Q3 2014 indices from the Royal Institute of Chartered Surveyors. This is considered to be a fair allowance. VAT at 20% now included.	425.76
BICS - Residential - Services	£462.40	See above	561.60
BICS - Residential - Decoration	£112.00	See above	135.36

BICS - Nursing - Fabric	£573.60	See above	515.52
BICS - Nursing - Services	£430.00	See above	696.00
BICS - Nursing - Decoration	£112.00	See above	135.36
Weekly gardening cost	£150.00	2% Bank of England CPI inflation target	£153
Insurance cost per client	5.68	2% Bank of England CPI inflation target	£6
Registration/CRB cost per client	3.25	2% Bank of England CPI inflation target	3.25
Other non-staff expenses per client	6.85	2% Bank of England CPI inflation target	6.99
Food per client	25.57	2% Bank of England CPI inflation target	26.08
Utilities per client	24.46	Replace by rows below	22.57
Utilities per client residential		Build Cost Information Service Life cycle cost Q3 2014 indices from the Royal Institute of Chartered Surveyors for old people's homes. To this is added 5% VAT in accordance with VAT notice 701/19	22.57
Utilities per client nursing		As previous box for nursing homes	21.68
Medical supplies per client	3.42	2% Bank of England CPI inflation target	3.49
Domestic and cleaning supplies per client	3.25	2% Bank of England CPI inflation target	3.31
Trade and clinical waste per client	3.25	2% Bank of England CPI inflation target	3.42
Market Value per bed	39,500.00	No longer used - see below	
Return on buildings - Residential	6.75%	No longer used - see below	
Return on buildings - Nursing	7.00%	No longer used - see below	
Return on buildings	7.00%	No longer used - see below	
Return on activity	3.00%	Many comments were received on the 2013-14 fees regarding the two separate returns on buildings and activity and their interrelation. The return on capital is associated with investment in new capacity. This is not a significant requirement in Wirral. A single return on activity based on the 2011 ONS ABS will now be used.	15.70%
Number of weeks in a year	52.00	No change proposed	52.00
Bed numbers - residential	37.00	This is the 2013-14 assumption and there is no significant variation based on home returns.	37.00
Bed numbers - nursing	45.00	This is the 2013-14 assumption and there is no significant variation based on home returns.	45.00
Occupancy - Residential	95.00%	This is the 2013-14 assumption and is considered to be a reasonable standard for efficient home operation.	95.00%
Occupancy - Nursing	95.00%	This is the 2013-14 assumption and is considered to be a reasonable standard for efficient home operation.	95.00%
Number of employees - Residential	27.00	No change proposed	
Number of employees - Nursing	35.00	No change proposed	

Cost components of home total cost per client – Residential							
a	b	c	d = b/c	e	f = d/e	g	h = f/g
Cost components of home total cost per client	Input	Divisor	Weekly	Divisor	Bed numbers	Divisor	Vacancy
Management allowance	£72,367.27	52	£1,391.68	37	£37.61	95%	£39.59
Catering employees	£13.48	1	£13.48	1	£13.48	100%	£13.48
Domestic employees	£36.10	1	£36.10	1	£36.10	100%	£36.10
Care employees	£158.41	1	£158.41	1	£158.41	100%	£158.41
General training	£5,012.28	52	£96.39	37	£2.61	100%	£2.61
General recruitment	£1,530.00	52	£29.42	37	£0.80	95%	£0.84
Fabric	£425.76	52	£8.19	1	£8.19	95%	£8.62
Services	£561.60	52	£10.80	1	£10.80	95%	£11.37
Decoration	£135.36	52	£2.60	1	£2.60	95%	£2.74
Handyman/Gardener (Contract)	£153.00	1	£153.00	37	£4.14	95%	£4.35
Insurance	£5.79	1	£5.79	1	£5.79	95%	£6.10
Registration/CRB	£3.25	1	£3.25	1	£3.25	95%	£3.42
Other non-staff expenses	£6.99	1	£6.99	1	£6.99	100%	£6.99
Food	£26.08	1	£26.08	1	£26.08	100%	£26.08
Utilities	£22.57	1	£22.57	1	£22.57	100%	£22.57
Medical Supplies	£3.49	1	£3.49	1	£3.49	100%	£3.49
Domestic & Cleaning Supplies	£3.31	1	£3.31	1	£3.31	100%	£3.31
Trade and Clinical Waste	£3.42	1	£3.42	1	£3.42	100%	£3.42
Return on business activity						100%	£55.50
			£1,974.97		£349.63		£408.98

Part of the cost of funding the nursing and nursing EMI incentive is deducted (£7.09) and the result rounded to the nearest whole £ to give the proposed fee of **£402**

Cost components of home total cost per client – Residential EMI							
a	b	c	d = b/c	e	f = d/e	g	h = f/g
Cost components of home total cost per client	Input	Divisor	Weekly	Divisor	Bed numbers	Divisor	Vacancy
Management allowance	£72,367.27	52	£1,391.68	37	£37.61	95%	£39.59
Catering employees	£13.48	1	£13.48	1	£13.48	100%	£13.48
Domestic employees	£36.10	1	£36.10	1	£36.10	100%	£36.10
Care employees	£188.38	1	£188.38	1	£188.38	100%	£188.38
General training	£5,012.28	52	£96.39	37	£2.61	100%	£2.61
General recruitment	£1,530.00	52	£29.42	37	£0.80	95%	£0.84
Fabric	£425.76	52	£8.19	1	£8.19	95%	£8.62
Services	£561.60	52	£10.80	1	£10.80	95%	£11.37
Decoration	£135.36	52	£2.60	1	£2.60	95%	£2.74
Handyman/Gardener (Contract)	£153.00	1	£153.00	37	£4.14	95%	£4.35
Insurance	£5.79	1	£5.79	1	£5.79	95%	£6.10
Registration/CRB	£3.25	1	£3.25	1	£3.25	95%	£3.42
Other non-staff expenses	£6.99	1	£6.99	1	£6.99	100%	£6.99
Food	£26.08	1	£26.08	1	£26.08	100%	£26.08
Utilities	£22.57	1	£22.57	1	£22.57	100%	£22.57
Medical Supplies	£3.49	1	£3.49	1	£3.49	100%	£3.49
Domestic & Cleaning Supplies	£3.31	1	£3.31	1	£3.31	100%	£3.31
Trade and Clinical Waste	£3.42	1	£3.42	1	£3.42	100%	£3.42
Return on business activity						100%	£60.20
			£2,004.94		£379.60		£443.65

The result is rounded to the nearest whole £ to give the proposed fee of **£444**



Cost components of home total cost per client - Nursing							
a	b	c	d = b/c	e	f = d/e	g	h = f/g
Cost components of home total cost per client	Input	Divisor	Weekly	Divisor	Bed numbers	Divisor	Vacancy
Management allowance	£72,367.27	52	£1,391.68	45	£30.93	95%	£32.55
Catering employees	£13.48	1	£13.48	1	£13.48	100%	£13.48
Domestic employees	£36.10	1	£36.10	1	£36.10	100%	£36.10
Care employees	£175.54	1	£175.54	1	£175.54	100%	£175.54
General training	£5,012.28	52	£96.39	45	£2.14	100%	£2.14
General recruitment	£1,530.00	52	£29.42	45	£0.65	95%	£0.69
Fabric	£515.52	52	£9.91	1	£9.91	95%	£10.44
Services	£696.00	52	£13.38	1	£13.38	95%	£14.09
Decoration	£135.36	52	£2.60	1	£2.60	95%	£2.74
Handyman/Gardener (Contract)	£153.00	1	£153.00	45	£3.40	95%	£3.58
Insurance	£5.79	1	£5.79	1	£5.79	95%	£6.10
Registration/CRB	£3.25	1	£3.25	1	£3.25	95%	£3.42
Other non-staff expenses	£6.99	1	£6.99	1	£6.99	100%	£6.99
Food	£26.08	1	£26.08	1	£26.08	100%	£26.08
Utilities	£21.68	1	£21.68	1	£21.68	100%	£21.68
Medical Supplies	£3.49	1	£3.49	1	£3.49	100%	£3.49
Domestic & Cleaning Supplies	£3.31	1	£3.31	1	£3.31	100%	£3.31
Trade and Clinical Waste	£3.42	1	£3.42	1	£3.42	100%	£3.42
Return on business activity						100%	£57.44
			£1,995.52		£362.15		£423.27

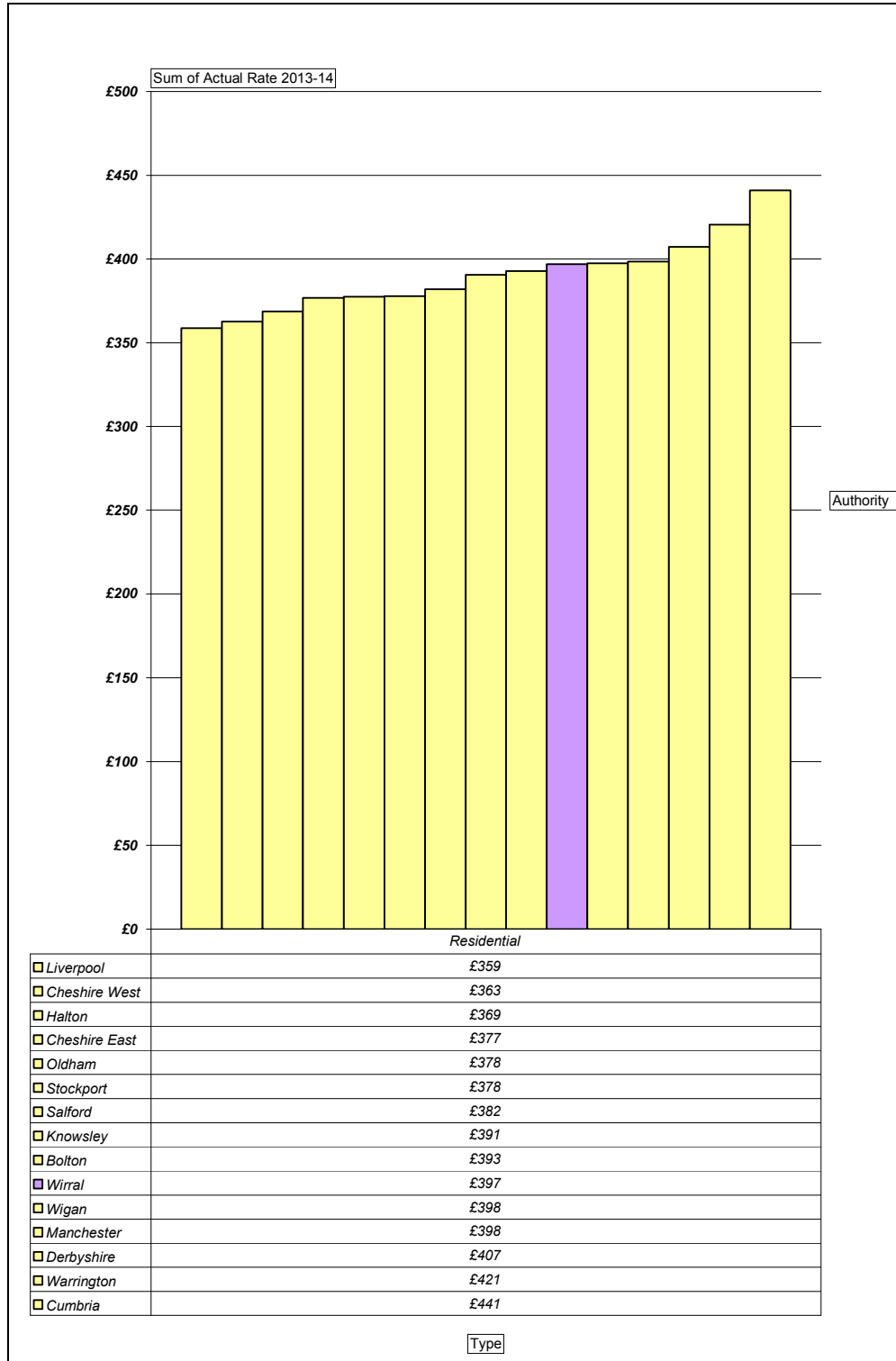
An incentive of £13 a week is added and the result rounded to the nearest whole £ to give the proposed fee of **£436**. The NHS will make an additional payment for nursing care.

Cost components of home total cost per client – Nursing EMI							
Cost components of home total cost per client	Input	Divisor	Weekly	Divisor	Bed numbers	Divisor	Vacancy
Management allowance	£72,367.27	52	£1,391.68	45	£30.93	95%	£32.55
Catering employees	£13.48	1	£13.48	1	£13.48	100%	£13.48
Domestic employees	£36.10	1	£36.10	1	£36.10	100%	£36.10
Care employees	£188.38	1	£188.38	1	£188.38	100%	£188.38
General training	£5,012.28	52	£96.39	45	£2.14	100%	£2.14
General recruitment	£1,530.00	52	£29.42	45	£0.65	95%	£0.69
Fabric	£515.52	52	£9.91	1	£9.91	95%	£10.44
Services	£696.00	52	£13.38	1	£13.38	95%	£14.09
Decoration	£135.36	52	£2.60	1	£2.60	95%	£2.74
Handyman/Gardener (Contract)	£153.00	1	£153.00	45	£3.40	95%	£3.58
Insurance	£5.79	1	£5.79	1	£5.79	95%	£6.10
Registration/CRB	£3.25	1	£3.25	1	£3.25	95%	£3.42
Other non-staff expenses	£6.99	1	£6.99	1	£6.99	100%	£6.99
Food	£26.08	1	£26.08	1	£26.08	100%	£26.08
Utilities	£21.68	1	£21.68	1	£21.68	100%	£21.68
Medical Supplies	£3.49	1	£3.49	1	£3.49	100%	£3.49
Domestic & Cleaning Supplies	£3.31	1	£3.31	1	£3.31	100%	£3.31
Trade and Clinical Waste	£3.42	1	£3.42	1	£3.42	100%	£3.42
Return on business activity						100%	£59.45
			£2,008.36		£375.00		£438.13

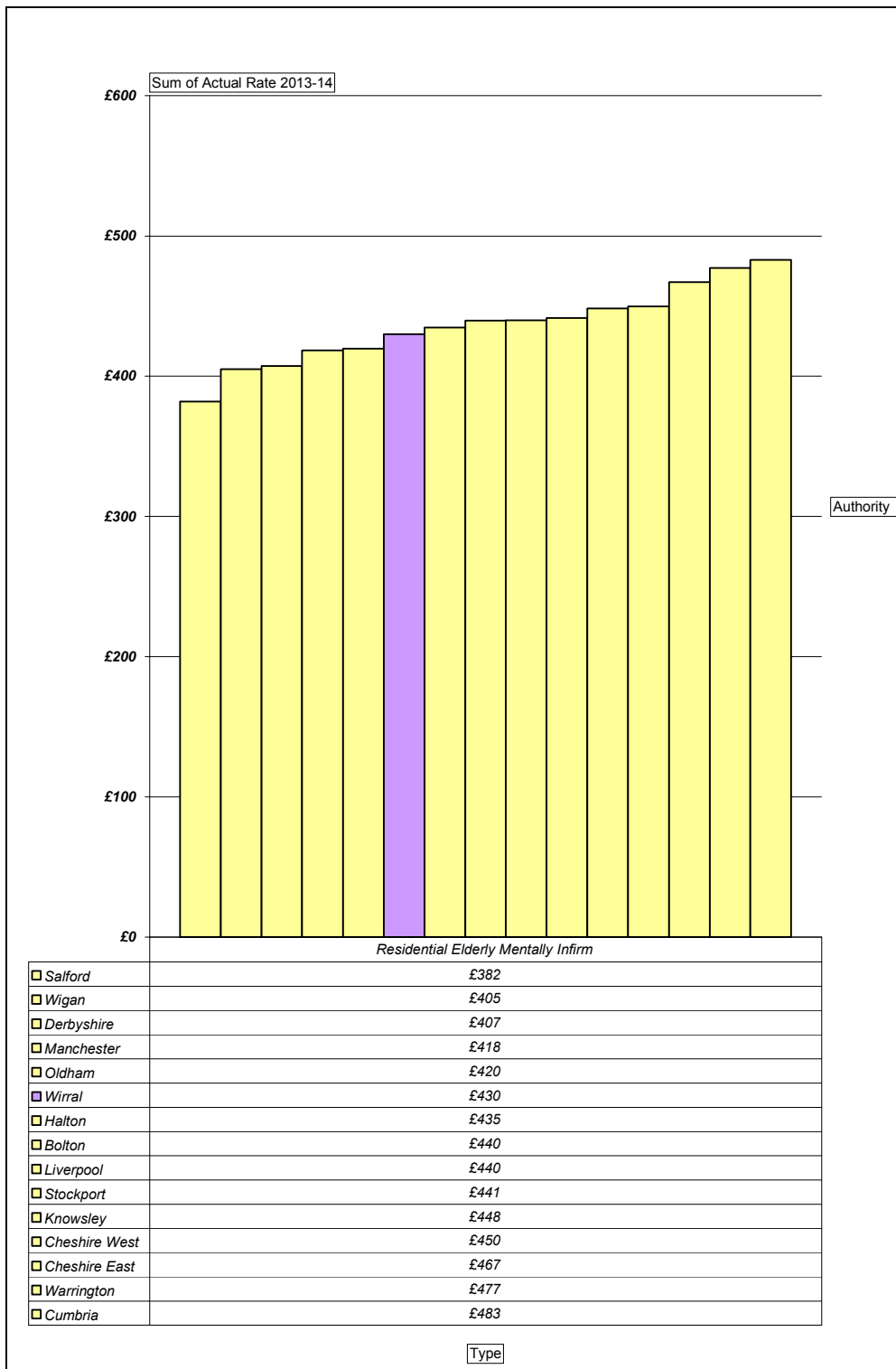
An EMI incentive of £18 a week is added and the result rounded to the nearest whole £ to give the proposed fee of **£456**. The NHS will make an additional payment for nursing care

# Fee Comparison

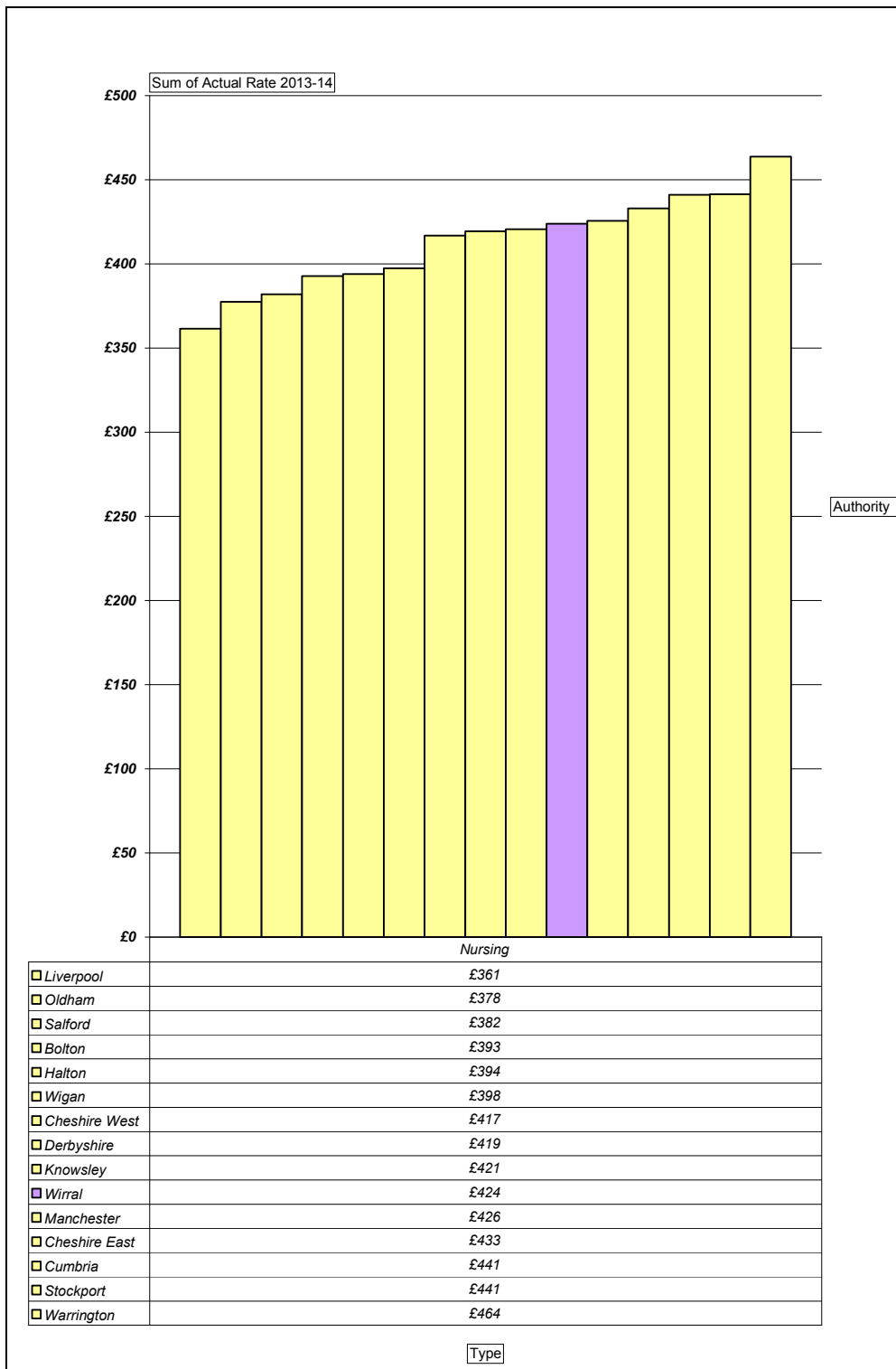
## Residential



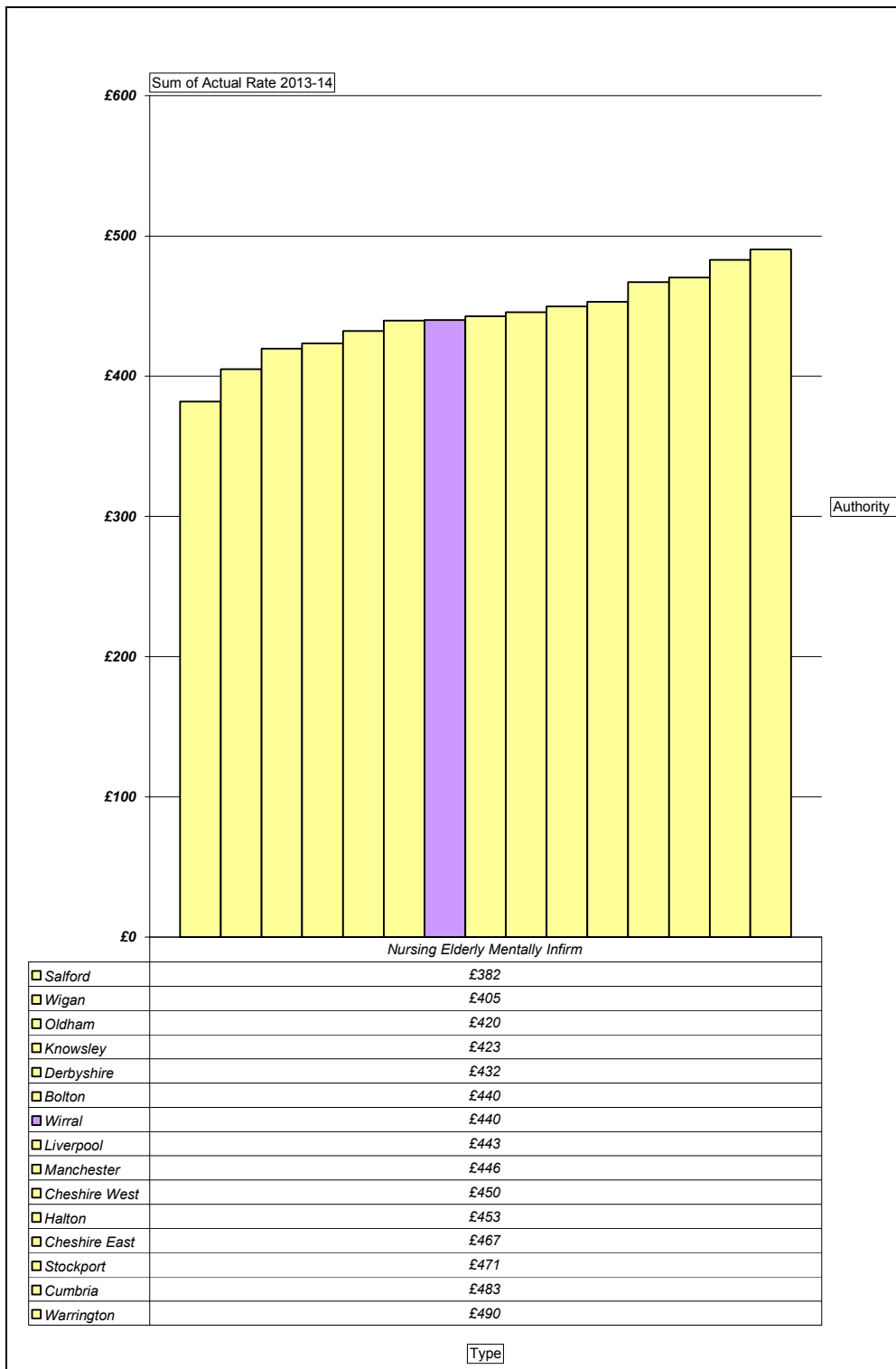
## Residential Elderly Mentally Infirm



## Nursing



## Nursing Elderly Mentally Infirm



## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT:</b>	<i><b>HEALTH AND SOCIAL CARE INTEGRATION. THE BETTER CARE FUND 2014 SUBMISSION</b></i>
<b>WARD/S AFFECTED:</b>	<i><b>'ALL'</b></i>
<b>REPORT OF:</b>	<i><b>DIRECTOR OF ADULT SOCIAL SERVICES AND CHIEF CLINICAL OFFICER CCG</b></i>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<i><b>COUNCILLOR CHRISTINE JONES</b></i>
<b>KEY DECISION?</b>	<i><b>NO</b></i>

#### 1.0 EXECUTIVE SUMMARY

- 1.1 The purpose of this report is to provide an update with regard to the Better Care Fund submission put together on behalf of Wirral Council and Wirral Clinical Commissioning Group.
- 1.2 In relation to performance a baseline assessment has been developed along with a new performance dashboard template.
- 1.3 The dashboard has been developed in order to monitor progress against key areas of activity that are critical to performance related elements of the Better Care Fund from 2015.

#### 2.0 BACKGROUND AND KEY ISSUES

- 2.1 The Better Care Fund (BCF) is explicitly intended to facilitate the integration of Health and Social Care systems at a local level. The Health and Wellbeing Board has a critical role in influencing and monitoring progress in relation to integration, it has a key role in signing of submissions.
- 2.2 NHS Wirral Clinical Commissioning Group (CCG) and Wirral Council are required to submit a final "Better Care Fund" 2 year plan to the Cheshire Warrington and Wirral Local Area Team (LAT), approved by the Wirral Health and Wellbeing Board by 4 April 2014 (second cut), explaining how they intend to use this fund to improve local services. The timescale for the submission of the first draft of the report was 15 February 2014 (first cut).
- 2.3 The March Health and Wellbeing Board will be used for sign off of the final return, with the first draft being submitted in February 2014. Running in parallel, both Cabinet and the CCG Governing Body will also be required to give approval in March.

2.4 The former model for the integrated arrangements for Health and Social Care were dealt with separately. Reablement and carers funds were paid to the CCG with a specific social care transfer for improved health outcomes. These arrangements are superseded by the Better Care Fund which drives joint commissioning and pooled funding arrangements.

### **3.0 RELEVANT RISKS**

3.1 The Better Care Fund brings both opportunity and risk. There are opportunities for efficiency working across health and social care organisations, however there are newly shared risks in relation to performance and spend. In addition the Better Care Fund has a performance related element from 2015. A risk share model has been developed through the Strategic Commissioning Board and is presented in Appendix 1.

### **4.0 OTHER OPTIONS CONSIDERED**

4.1 Contingency arrangements are to be further developed.

### **5.0 CONSULTATION**

5.1 Public stakeholder event 12 February 2014 to commence a broader more in depth consultation process over time as part of the broader strategic development of Vision 2018.

### **6.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

6.1 Voluntary, community and faith organisations are key stakeholders in the development of Vision 2018.

### **7.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

7.1 For 2014/15 the total joint resource available will be circa £15 million (exact resource to be confirmed by Finance Directors).

7.2 From 2015/16 the total resource available will be circa £30 million (exact resource to be confirmed by Finance Directors).

7.3 The plan for 2015/16 includes rolling over investment from 2014/15 however there is a commitment that these investments will be reviewed to ensure effective utilisation of resource in 2015/16.

### **8.0 LEGAL IMPLICATIONS**

8.1 The Section 256 is a formal legal agreement. A similar model will be required to set out formal agreements for pooled funding setting out specific risk share agreements.



## **9.0 EQUALITIES IMPLICATIONS**

9.1 None specified overview report only. Consideration of EIA will be given to specific service proposals.

## **10.0 RECOMMENDATION/S**

10.1 Cabinet are being asked to note the draft submission and to recognise the role of the Health and Wellbeing Board in signing off the final submission.

10.2 To note the performance baseline and dashboard along with monitoring requirements.

## **11.0 REASON/S FOR RECOMMENDATION/S**

11.1 The draft submission is a critical part of shaping the full submission for the Better Care Fund 2014 onwards.

11.2 System performance will be a critical element of the new Better Care Fund. This presents potential financial risk.

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email: [jacquievans@wirral.gov.uk](mailto:jacquievans@wirral.gov.uk)

## **APPENDICES**

Appendix 1 - Better Care Fund summary document, giving more detail of use-age and key issues. Better Care Fund draft submission template.

Appendix 2 - Supporting finance and detailed schemes template.

Appendix 3 - Performance baseline 2013 and proposed dashboard 2014.

**NHS WIRRAL CCG and WIRRAL COUNCIL**

**Better Care Fund 2014 - 2016**

**Background**

1. The Better Care Fund (BCF) is explicitly intended to integrate Health and Social Care systems at a local level.
2. NHS Wirral Clinical Commissioning Group (CCG) and Wirral Council are required to submit a final "Better Care Fund" 2 year plan to the Cheshire Warrington and Wirral Local Area Team (LAT), approved by the Wirral Health and Wellbeing Board by 4 April 2014 (second cut), explaining how they intend to use this fund to improve local services. The timescale for the submission of the first draft of the report 15 February 2014 (first cut).
3. The March Health and Wellbeing Board will be used for sign off of the final return, with the first draft being submitted in February 2014. Running in parallel this will also go to the 13 March 2014 Cabinet for approval and the CCG Governing Body.

**Introduction**

4. This paper sets out a summary of the draft BCF submission to the Cheshire Warrington and Wirral Local Area Team with the full draft return added as an appendix for approval.

**Better Care Fund**

5. The Better Care Fund submission for Wirral concerns a pooled resource across health care, social care and public health for both 2014/15 and 2015/16.
6. In 2014/15 this will be managed via a section 256 agreement between all parties.
7. In 2015/16 a formal pooled budget will need to be agreed between all parties through a section 75 agreement.
8. The financial summary set out later in this document for both financial years provide a high level view of where this resource will be spent, including some spend on existing services and a proportion of new investment.
9. This financial allocation across services has been agreed by the Wirral Joint Strategic Commissioning Group.

**Joint Commissioning & Redesign 2014/15**

10. In addition to the BCF schemes, it has also been agreed that Wirral Council and NHS Wirral CCG should assess existing services where joint commissioning could provide better outcomes and value for money.
11. With this aim in mind the following areas are recommended for redesign and review during 2014/15:

- Community Equipment Service
- Assistive technology and telehealth
- Carers
- 3<sup>rd</sup> sector services
- Falls
- Self care / self management
- Signposting, information and advice services
- Drugs and alcohol services
- Mental health / dementia services
- Discharge team
- Potential for joint call centre
- Care bill modelling and impact, including provider capacity in the community
- Full modelling of 7 day services including pathway design and costing
- Preparation for use of disabled facilities grant and social care capital grant
- IT / NHS number implementation
- HR consultation for 7 day working
- Workforce / culture shift across organisations
- Public and provider engagement

### **Performance & Financial Modelling**

12. Completion of performance and financial modelling and target setting will need to take place prior to April 2014 and this detailed work is underway.

### **Performance & Financial Reporting**

13. Setting up regular performance and financial reporting into the Joint Strategic Commissioning Group will be vital to ensure progress towards outcomes in preparation for 2015/16. Systems need to be in place to escalate emerging risks and variance from trajectory.
14. A task and finish group has been set up on a fortnightly basis to oversee the work plan development and implementation.

### **Financial Contingency and Risk Share**

15. The Joint Strategic Commissioning Group has discussed and agreed the following principles in relation to financial contingency and risk share:
  - Wirral Council and Wirral CCG agree that the plan needs to take into account the performance related element of the £28 million (£7 million) in 2015/16 (25% of total BCF)
  - Wirral Council and Wirral CCG will agree a financial contingency (risk share) in the event that outcomes are not met (further details are needed from LAT on how this performance related element will work)
  - Wirral Council and Wirral CCG will take financial responsibility for any under performance against agreed outcomes on a 50% - 50% basis

- Wirral Council and Wirral CCG agree to take responsibility for any over performance on PBR expenditure in 2015/16 on a 50% - 50% basis
- Wirral Council and Wirral CCG agree to take responsibility for any over performance on the community care budget in 2015/16 on a 50-50% basis
- Wirral Council and Wirral CCG agree that any surplus from an under performance is shared equally on a 50% - 50% basis and reinvested on priority areas based on outcomes required.
- Wirral Council and Wirral CCG agree that some existing expenditure for both organisations will be badged against the BCF
- Wirral Council and Wirral CCG need to demonstrate agreement of the BCF plan with major providers
- Wirral Council and Wirral CCG agree that the preparatory contractual and financial work for agreement of a pooled budget in 2015/16 needs to take place throughout 2014/15
- Wirral Council and Wirral CCG agree that substantial preparatory work for 2015/16 will need to be undertaken in terms of performance and financial modelling, service redesign, cultural shift and progress towards goals in 2014/15
- Wirral Council and Wirral CCG agree that an operational task and finish group needs to be established to oversee this work with immediate effect, linking into the wider Vision 2018 work and reporting to the Joint Strategic Commissioning Group
- Wirral Council and Wirral CCG need to decide which organisation holds the pooled budget
- Wirral Council and Wirral CCG need to agree outcomes and propose baselines and stretch targets for 2014/15 and 2015/16
- Wirral Council and Wirral CCG need to assess the likelihood of meeting financial and outcome targets in 2014/15 and 2015/16 and plan accordingly
- Wirral Council and Wirral CCG need to model the impact of the loss of resource to acute, community and social care services
- The risk share split may be altered depending on the balance of investment in health and social care in 2015/16

### **Contingency Arrangements**

16. The Joint Strategic Commissioning Group has agreed that there will need to be a “best case scenario” and a “worst case scenario”.
17. “Worst case scenario” will entail the retention of a sum within the pooled budget for use as a contingency fund, equating to 2.5% of the total fund in 2015/16.
18. Under “Worst case scenario” the number of schemes that can be badged against the BCF and/or new schemes will be limited initially. Schemes that have been excluded for this could be

approved later in 2015/16 depending on the performance against outcomes. The sum retained could also be used as a pump priming fund, if it was released later in the year.

19. Definition of performance thresholds to release funding for further investment in “worst case scenario” will need to be determined by financial pay-for-performance sum in 2015/16 (£7 million in latest guidance for Wirral). Contingency will need to be linked to performance metrics (as advised by LAT).
20. “Worst case scenario” will consist of a more cautious approach and investment in new initiatives may be delayed. This will need to be balanced with the need to invest to deliver the required outcomes.

### **Financial summary 2014/15**

21. The following is a summary of the proposed expenditure against the Better Care Fund in 2014/15.
22. The total joint resource available will be circa £15 million (exact resource to be confirmed by finance directors).
23. This will be invested across the following areas (supporting existing expenditure):
  - Step Up and Step Down Care (including intermediate care and reablement)
  - Community equipment
  - Protecting social care services
  - Mental health and dementia
  - Assistive technology
  - Carers
  - Falls services
24. £ 2 million of the total budget will be invested in transformation in the following areas:
  - 7 day working in primary care, community care and social care (including the integrated discharge team and care arranging team)
  - Admission avoidance schemes
  - Early intervention and prevention

### **Financial summary 2015/16**

25. The following is a summary of the proposed expenditure against the Better Care Fund in 2015/16.
26. The total resource available will be circa £30 million (exact resource to be confirmed by finance directors).
27. The plan for 2015/16 includes rolling over investment from 2014/15 however there is a commitment that these investments will be reviewed to ensure effective utilisation of resource in 2015/16.
28. In addition the following areas have been prioritised for investment in 2015/16:

- Additional funding for 7 days in primary care, community, social care, admission prevention (including Integrated Care Coordination Teams), planned care and extended access
- Admission prevention schemes (including care homes support schemes, homeless services, urgent care community centres and possible additional step up / step down capacity)
- Mental health (including dementia shared care and early onset service)
- Early intervention and prevention (including third sector investment)

### **Recommendations**

29. This report is a first draft; a second draft will be submitted to the March Health and Wellbeing Board.

30. The Health and Wellbeing Board is asked to:

- Approve the first draft Better Care Fund submission to the Cheshire Warrington and Wirral Local Area Team

#### **Sarah Quinn**

Commissioning Manager, NHS Wirral Clinical Commissioning Group

#### **Jacqui Evans**

Head of Transformation, Department of Adult Social Services, Wirral Council

**See: Better Care Fund draft submission template**

## Better Care Fund planning template – Part 1

Please note, there are two parts to the template. Part 2 is in Excel and contains metrics and finance. Both parts must be completed as part of your Better Care Fund Submission.

Plans are to be submitted to the relevant NHS England Area Team and Local government representative, as well as copied to: [NHSCB.financialperformance@nhs.net](mailto:NHSCB.financialperformance@nhs.net)


To find your relevant Area Team and local government representative, and for additional support, guidance and contact details, please see the Better Care Fund pages on the NHS England or LGA websites.


### 1) PLAN DETAILS


#### a) Summary of Plan

Local Authority	<b>Wirral Borough Council</b>
Clinical Commissioning Groups	<b>NHS Wirral CCG</b>
Boundary Differences	<b>Coterminous</b>
Date agreed at Health and Well-Being Board:	<b>13/02/2014</b>
Date submitted:	<b>14/02/2014</b>
Minimum required value of ITF pooled budget: 2014/15	<b>£10,759,824</b>
2015/16	<b>£28,009,000</b>
Total agreed value of pooled budget: 2014/15	<b>£15,328,733</b>
2015/16	<b>£32,577,909</b>

## b) Authorisation and signoff

<b>Signed on behalf of the Clinical Commissioning Group</b>	
<b>By</b>	Dr Abhi Mantgani
<b>Position</b>	Accountable Officer, NHS Wirral CCG
<b>Date</b>	14/2/2014

<b>Signed on behalf of the Council</b>	
<b>By</b>	Graham Hodkinson, Wirral Borough Council
<b>Position</b>	Director of Adult Social Services
<b>Date</b>	14/2/2014

<b>Signed on behalf of the Health and Wellbeing Board</b>	
<b>By Chair of Health and Wellbeing Board</b>	Cllr Phil Davies, Chair, Wirral Health and Wellbeing Board and Leader of Wirral Council
<b>Date</b>	14/2/2014

## c) Service provider engagement

Please describe how health and social care providers have been involved in the development of this plan, and the extent to which they are party to it

<ul style="list-style-type: none"><li>• Provider engagement with social care providers (care home, reablement, IMC and domiciliary care) has taken place over the last 9 months as part of the development of a market position statement for Wirral. Ongoing provider engagement is planned throughout 14/15. For example:<ul style="list-style-type: none"><li>• Intermediate care providers have been an integral part of the service redesign of the step up step down system</li><li>• Reablement and domiciliary care providers have assisted in shaping the new service specification as part of the re-procurement process in 2013/14</li></ul></li><li>• Provider engagement has taken place with the major NHS providers as part of the Vision 2018 project and regular contracting meetings throughout the year. In addition we have further individual Provider engagement meetings in place before the second cut submission (including main acute trust, community provider and mental health provider).</li></ul>
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- All Chief Executives of major NHS providers are members of the Vision 2018 project, along with appropriate level leaders from Wirral Borough Council

**d) Patient, service user and public engagement**

Please describe how patients, service users and the public have been involved in the development of this plan, and the extent to which they are party to it

It has been agreed as part of the Vision 2018 programme and the better care fund project on Wirral that patient, service user and public engagement will be undertaken.

The CCG and the Council worked together to host an engagement event on 12<sup>th</sup> February 2014 with the public and professionals and further engagement will happen throughout March and April including through websites, social media and a virtual public group.

It is acknowledged by all partners that this process will not be completed prior to the first submission date in February 2014 but that the engagement work will be an integral part of the Vision 2018 project going forward. The feedback from this engagement process will directly feed into the priorities for 15/16 and beyond.

The JSNA provides the evidence base for the BCF plans. As part of the annual development/assurance process for the JSNA residents & relevant stakeholders are engaged via questionnaire to a.) feedback on the quality of the evidence provided & to identify gaps that need to be addressed prospectively b.) identify the key issues for Wirral residents. This engagement process over the past 2 years has resulted in older people & long term conditions being identified as the 2 key issues for the population of Wirral.

**e) Related documentation**

Please include information/links to any related documents such as the full project plan for the scheme, and documents related to each national condition.

<b>Document or information title</b>	<b>Synopsis and links</b>
Vision 2018 document	Executive summary of the programme
Joint Strategic Needs Assessment	Joint local authority and NHS HCCG assessments of the health needs of the local population in order to improve the physical and mental health and wellbeing of the people of Wirral. <a href="http://info.wirral.nhs.uk/ourjsna/wirral2009-10/">http://info.wirral.nhs.uk/ourjsna/wirral2009-10/</a>
Wirral Health and Wellbeing Strategy	This document sets out the overarching Health and Wellbeing Strategy for Wirral.

Vision 2018 Strategy for integration on Wirral	This document sets out the plan for operational integration of primary care, community and social care services.
Market position statement	Provides key information to the market, summarising intelligence and how the Local Authority intends to strategically commission and encourage the development of high quality provision.
CCG Strategic Plan	This document sets out the 2 and 5 year strategy for the CCG across 11 key programme areas, linking in to the Vision 2018 strategy.

## 2) VISION AND SCHEMES

### a) Vision for health and care services

Please describe the vision for health and social care services for this community for 2018/19.

- What changes will have been delivered in the pattern and configuration of services over the next five years?
- What difference will this make to patient and service user outcomes?

**Over the next 5 years** we will deliver a transformed service for the people of Wirral focusing on moving care from hospital to community based resources and supporting people in their own homes. There will be a focus on:

- Early intervention and prevention
- Health promotion
- Self-care and self help
- Encouraging self-determination and responsibility for communities and neighbourhoods
- Information, advice, signposting and where necessary redirection to appropriate services
- Developing integrated approaches across professional and organisational boundaries e.g. primary and secondary care clinicians working together in the community, assessment, meeting care needs, single gateway, seamless front door
- Facilitating a significant shift in culture and behaviours across professions and organisations

**We will ensure that we:**

- Improve key outcomes
- Improve health and wellbeing of individuals in our community
- Support independence
- Manage complex care and provide care closer to home
- Integrate our approach to commissioning

- Improve quality of care
- Adopt national and international best practice



If we are successful, funding for unplanned admissions to hospital, particularly for people who are 75 and over, will be reduced because people will not need to go to hospital in the same numbers as they do at the moment, and lengths of stay will be shorter. In addition we would expect a significant reduction in long and short term nursing and residential care placements with an associated reduction in expenditure. The specific workstreams we will deliver to achieve this are highlighted in section b (aims and objectives).

**An illustration of what this will mean for “Mrs Smith of Wirral” is shown in diagram 1 (overleaf).**

Nationally, the health and social care system is under enormous pressure. The social care system faces a complex mix of changing demography, rising need and increased public expectations. We face unprecedented challenges at a time of severe economic constraint whilst retaining and improving service quality and safety.

Earlier this year, NHS England published a landmark document: ‘The NHS belongs to the people-a call to action’. This sets out the challenges and makes a case for developing bold and ambitious plans for the future.

We will not achieve these goals if we just rely on the thinking that has got us where we are today. Without radical rethinking of the way we go about change, the pressure to contain costs will only be met by cutting services, increasing waiting times or forcing overstretched staff to work even harder. We need to develop a range of interventions and engage with health and social care colleagues, people who use our services and our entire workforce to get better, faster, more cost effective outcomes for the resources we invest.

In health the pressure is best demonstrated by an increase in emergency admissions to hospital, which rose by 27 per cent in England in the period 2000-01 to 2011-12.

Councils are having to make unprecedented savings from their budgets due to reductions in funding from central Government. The NHS is also facing an unprecedented challenge in its budget from 2015/16.

### 1. Wirral's Population

Wirral's overall population is projected to increase by 1.4% between 2011 and 2021, from 319,863 in 2011 to 324,226 in 2021 (Table 1).

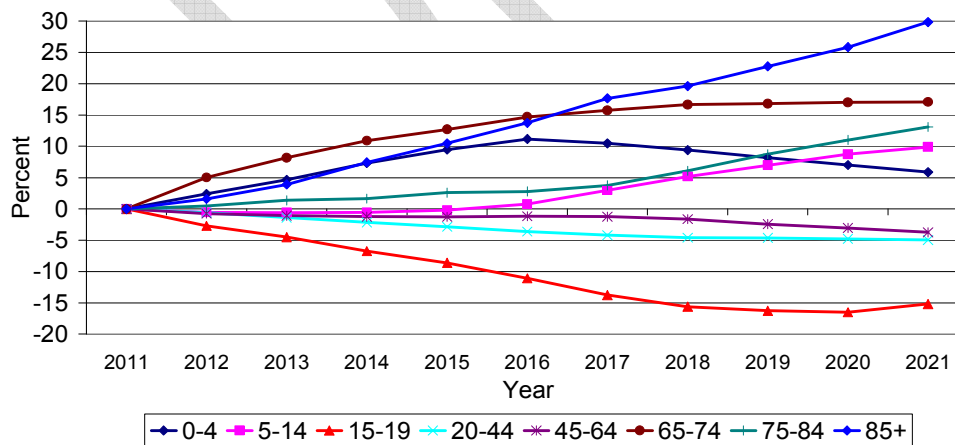
Table 1 – Percentage change in population by age group, interim 2011 to mid-2021

	Age group	Population				% change 2011 to 2021
		2011	2014	2018	2021	
Children	0-16	63324	64013	65797	67311	6.3
	0-4	18543	19899	20286	19628	5.9
	5-9	17772	18668	19856	21083	18.6
	10-14	18874	17776	18691	19192	1.7
	15-16	8135	7670	6964	7408	-8.9
Older People	65+	61427	65847	69655	72150	17.5
	65-74	31593	35033	36858	36993	17.1
	75-84	21374	21725	22677	24172	13.1
	85+	8460	9090	10120	10985	29.9

Source: ONS 2011 based population projections, 2012

- The older population (aged 65 years and above) are projected to increase at the fastest rate. By 2021 this population is projected to total 72,150, compared to 61,422 in 2011, an 11,000 (18%) increase.
- The population over 85 is projected to increase from 8,460 in 2011 to 10,985 in 2021, a 2,500 (29.9%) increase (Figure 1).

Figure 1 – Percentage change in population by age group, interim 2011 to mid-2021



Source: ONS 2011 based population projections, 2012

## 2. Long term conditions and disability

More than 100,000 people in Wirral – 30 per cent of the population – have one or more long-term condition (Department of Health 2011). This includes people with a range of conditions that can be managed but often not cured, such as diabetes, arthritis and asthma, or a number of cardiovascular diseases and mental disorders. Current projections by the Public Health Observatory in England suggest that the prevalence of diabetes, cardiovascular diseases, COPD and hypertension will increase by 10% by 2020 (Public Health Observatory, 2009). The majority of people will have more than one long term condition with 30% also experiencing a co-morbid mental health problem (Fortin et al., 2005). Currently the total cost of long term conditions is estimated to be 70% of the total NHS and social care budget and expected to increase in the near future.

The Census 2011 reported that about 36,000 (57%) people aged 65 years and over reported a long term condition or disability that limited their daily activities (Table 2). Evidence suggests that with aging of the population alone, with no alteration in the incidence or prevalence of disease or disability, there will be a 67 per cent increase in the numbers with disability over the next 20 years (Jagger et al., 2006). Numbers of the oldest old (those aged 85 years and over) with disability will have doubled and the numbers experiencing one of the key chronic diseases will have increased by over 40 per cent by 2025 (Jagger et al., 2006). The evidence about whether the aging population will live their extra years with better health is still being gathered in the UK but in other countries the evidence suggests there will be some reductions in disabilities for the ‘older old’ population (Crimmins, 2004).

Table 2: Long-term health problem or disability, Wirral, 2011

	Number	Per cent
Day-to-day activities limited a lot	19195	31%
Day-to-day activities limited a little	15639	26%
Day-to-day activities not limited	26132	43%
All categories	60966	100%

Source: Census 2011

Bearing in my these challenges, a Vision 2018 Group has been set up on Wirral to enable leaders from the Health and Social Care Economy to come together in partnership to address these challenges together, towards the following agreed vision:

***“To ensure the residents of Wirral enjoy the best quality of life possible, being supported to make informed choices about their own care, and being assured of the highest quality services provided as close to their home as possible and providing them with a voice to effect change”***

To achieve this we have committed to the following principles:

- Everything we do is to improve outcomes and the experiences of patients, service users, their carers and families.
- We will engage with the people who use our services as partners, establishing a new and equal relationship with our professional staff in co-designing and continually improving services

- We will provide person centred care that considers an individual's physical and mental health and well-being needs
- We will provide care and services focused around the individual - there is no wrong front door - promoting early intervention and prevention, encouraging people to self help where possible
- We will ensure the location of services is in or as close as possible to people's own homes, with hospital and residential care targeted at those who require that level of care
- We will ensure our workforce is fully engaged and contributes to the development of this vision and the services that are part of it
- We will maximise the opportunities to make an even greater difference to people's lives through working with other sectors e.g. housing, voluntary sector

**Please see attached documents for the Executive Summary of the Vision 2018 Programme.**

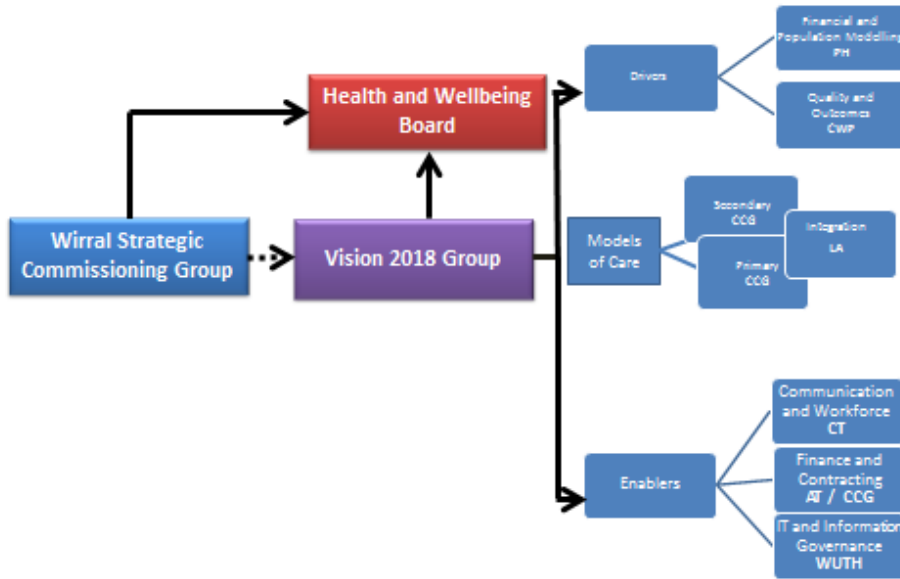
### **Enablers**

There are 8 workstreams that have been set up under an overarching programme board to deliver against these principles:

- **Financial and population modelling**  
Coordinating business intelligence/evidence support for the Vision programme, and evaluating the impact of population/needs/delivery models on the health and social care economy
- **Outcomes and Quality**  
Agreed terms of reference and membership and the aim to ensure that any models of care which are developed encompass high level outcomes.
- **Primary Care**  
Currently developing a draft primary care strategy.
- **Secondary Care**  
Currently identifying the redesign of secondary care models of care
- **Integration**  
Currently overseeing the roll out of Integrated care coordination teams and developing proposals for the next steps for integrated systems approach.
- **Communications and Workforce**  
Currently developing a communications timeline for engagement with staff and public to co-design the strategy
- **Information Technology and Information Governance**  
Currently developing a health-economy wide Informatics Strategy to enable sharing of information in the support of integrated care.
- **Finance and Contracting**  
Currently informing contract negotiations, developing financial plans and modelling assumptions.

These workstreams will define and oversee delivery of a different model of integrated care across health and social care in terms of commissioning and front line services over the next 5 years.

## VISION 2018 Governance Structure



In addition to this overarching Vision 2018 structure a Wirral Joint Strategic Commissioning Group is in place to oversee progress of the Better Care Fund Programme and will act as a bridge between the operational group and the Health and Wellbeing Board.

**Diagram 1**

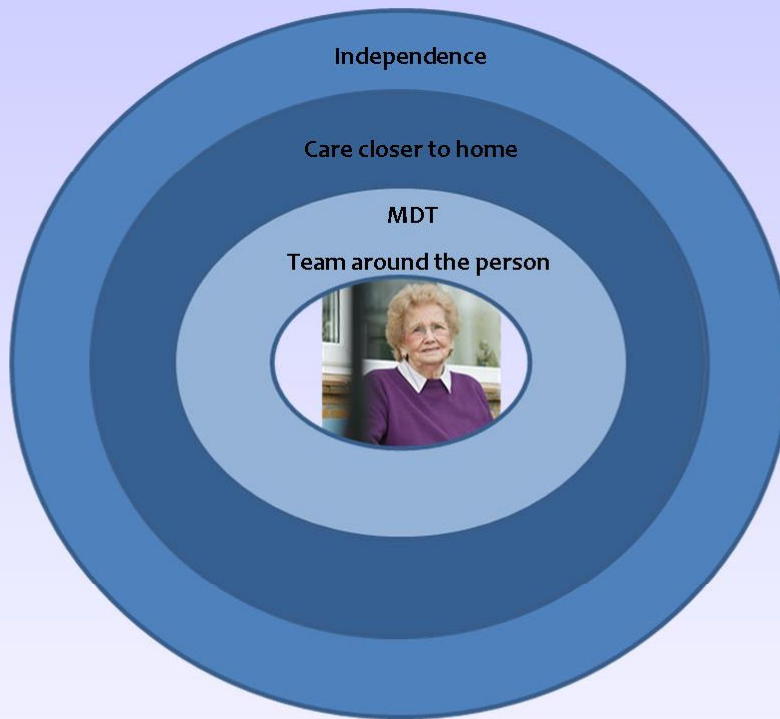
**Wirral Caring together for Mrs Smith**

**Who is Mrs Smith**

Mrs Smith is 80 years old. She lives on the Wirral, her family live down south. She is getting frailer and she has Diabetes and COPD; she is a lifelong smoker. Her neighbours help when they can, but she is fearful she will lose her independence.

**Her Current Journey**

- She falls and is taken to A&E.
- She is then admitted to AAU.
- She is transferred to DME ward; although medically fit OT assessment indicates package of care.
- Package not available for 1 and a half weeks.
- A rapid access bed is arranged.
- Mrs Smith's condition exacerbates-she is now on insulin, her COPD requires further treatment.
- She is at risk of falling again.
- Mrs Smith moves to short term residential care. Her family like the care home.
- Mrs Smith stays at the care home.



**Future Journey**

- Integrated teams available in the community
- Core team of health and social care professionals
- Single Assessment
- Key worker
- Responsive service
- Hospital admission avoided

**Self Care**

- Social networking
- Lifestyle choices
- Goal setting
- Online/community offline
- Connects to support services

**Risk Stratification**

- Identify those at risk of hospital or care home admission
- Identify complexity of need
- Care plan in place
- Stream to integrated teams where needed





## b) Aims and objectives

Please describe your overall aims and objectives for integrated care and provide information on how the fund will secure improved outcomes in health and care in your area. Suggested points to cover:

- What are the aims and objectives of your integrated system?
- How will you measure these aims and objectives?
- What measures of health gain will you apply to your population?

**Our aims and objectives** for our integrated system are to bring together all of the public agencies that provide health and social care support, especially for older people, to better co-ordinate services such as health, social care and housing, to maximise individuals' access to information, advice and support in their communities, helping them to live as independently as possible in the most appropriate setting. We will deliver this through developing "integrated care coordination teams".

Through movement of care to the community and supporting self care, signposting and early intervention we will reduce demand on downstream services such as acute care and long term social care. We will also use risk stratification to target integrated support for patients who are potential high users of health and social care services.

We believe this transformation will also require the input of a range of health and social care providers as well the greater involvement of the community and voluntary sectors. There are numerous opportunities to improve current service provision as part of this programme of work. To support the achievement of the outcomes we will need to focus effort on significant behavioural and cultural change across organisations. This will have a direct impact on demand management, for example by reducing duplication and improving customer outcomes.

This will require a different way of working from our service providers and will require us to develop an infrastructure that will allow both the voluntary and community sectors to play a greater role of supporting people more effectively in their communities. This will be through providing:

- Seamless and timely response from integrated teams and other appropriate services
- Single gateway to services
- Streamlined pathway
- Rapid assessment and support
- Coordinated care plans with lead professional
- Housing support
- Develop neighbourhood based support
- Encouraging self care and self help

**We will measure the agreed outcomes** (both BCF and locally agreed) through a jointly developed performance reporting system which feeds into a monthly strategic joint commissioning group. **See attached documents for details of Local Scorecard.**

In addition we will measure our success against the 7 national outcomes as set out in Everyone Counts:

- Securing additional years of life for the people of England with treatable mental and physical health conditions
- Improving the health related quality of life for 15+ million with one or more LTC including mental health Reducing the amount of time people spend avoidably in hospital through better and more integrated care in the community
- Increasing the proportion of older people living independently at home following discharge from hospital
- Increasing the number of people having a positive experience of hospital care
- Increasing the number of people with mental and physical health conditions having a positive experience of care outside hospital, in general practice and the community
- Making significant progress towards eliminating avoidable deaths in our hospitals caused by problems in care

In terms of **health gain** to the population the interventions that we put in place will be supported by an overarching evaluation framework which will examine both qualitative and quantitative factors e.g. to determine cost benefit, QALY (quality adjusted life years) gain. This will facilitate the on-going & prospective prioritisation of initiatives to ensure we maximise improvements in outcomes, quality and value for money.

Fundamentally, we believe that the Better Care Fund should be used for genuine transformation of the health and social care system in Wirral, not to plug a gap in the social care or health budgets brought about by increasing demand and reducing budgets.

This transformation is not just about reducing admissions to hospital, but rather about changing the whole system so that it is focused on supporting people wherever possible with person-centred and professionally-led primary / community / social care, with the goal of living as independently as possible. A key part of this will be to ensure that access and response times of all services meet the needs of the population and that capacity meets demand across the range of services. This aligns with the principles set out by Government, NHS England and LGA, is consistent with the priorities set out in Wirral's Joint Strategic Needs Assessment, NHS Wirral CCG's Strategic Plan and the Council's Corporate Plan and Commissioning Intentions.

We already have a programme of work which is working towards:

- Development of Integrated Care Coordination Teams (ICCTs)
- Focusing on 7 day care provision across primary and social care
- 7 day admission prevention
- 7 day discharge facilitation across all services
- More effective joint commissioning of key services
- Developing more effective community interventions such as falls response and prevention services, assistive technology, community equipment, appropriate mental health and dementia interventions
- Redesign of existing services
- Supporting reduction of capacity in acute care

These will all require a much closer level of integration between primary health (GPs), community health (e.g. district nursing, physiotherapy) and social care (support to live independently), so that these services can identify, support and intervene much earlier to prevent a crisis occurring or someone feeling they are unable to access the support they need. Information technology will play a key role in facilitating new ways of working.

A prioritisation process is currently being developed jointly between Wirral Council and Wirral CCG. This will aim to use system dynamic modelling to evaluate the impact of initiatives (old & new) to determine which ones will have the biggest impact on the 6 national outcome priorities. This work will be supported by a comprehensive performance management framework which span operational (service managers) and strategic decision makers (e.g. Health & Wellbeing members).

### **c) Description of planned changes**

Please provide an overview of the schemes and changes covered by your joint work programme, including:

- The key success factors including an outline of processes, end points and time frames for delivery
- How you will ensure other related activity will align, including the JSNA, JHWS, CCG commissioning plan/s and Local Authority plan/s for social care

**The key success factors** for delivery are:

- Improved outcomes for the people of Wirral, including positive experiences of care
- Implementation of integrated health and social care teams in the community
- Reduced demand on acute services
- 7 day access to a range of health and social care services
- Demand management through self care, signposting and utilisation of the third sector
- Information and IT systems shared across professionals and organisations

**Our Health and Wellbeing Strategy** outlines 3 key priority areas:

- Mental Health
- Older People
- Alcohol

Early intervention and prevention is a key theme across all these areas. In addition there is a commitment to joint commissioning and integrated delivery of services wherever this will improve outcomes for the people of Wirral.

These priorities directly align with the Better Care Fund priority areas in both 2014/15 and 2015/16. In addition they also align with the CCG strategic priorities in Unplanned Care (including Older People and Alcohol), Adult Mental Health Services and Dementia.

The Health and Wellbeing Board, supported by the Joint Strategic Commissioning Group will ensure that activities to deliver across all the priority areas are aligned.

The planned changes across health and social care commissioning have been developed based on the 5 national priority areas (excluding the joint sign off):

- Protection of social care services
- 7 day working

- Data sharing and IT
- Joint assessment and care planning (including accountable professional)
- Acute sector impact

A number of schemes within each category are already underway, some planned for 2014/15 and significant redesign will occur in 2014/15 to prepare for schemes in 2015/16. We will continue to develop and improve the following schemes as examples:

- Self help, information advice and support
- Self care
- Early intervention and prevention (falls, community equipment, early assessment)
- Integrated discharge team redesign
- Integrated care coordination teams
- Step up / step down provision
- Care of the elderly services in the community
- Assistive technology / telehealth
- Whole system model of care for adults with Learning Disabilities
- Mental health outreach and an integrated approach to dementia care
- Enabling and supporting the development of a stronger role for primary care services at the heart of integrated care
- Integrated safeguarding and quality assurance
- Integrated commissioning, shared vision, plans and budget across key areas

This includes a range of services, currently commissioned separately, which will be jointly commissioned during 2014/15 and through this the economy will ensure value for money. Our priority focus will be to ensure appropriate investment in a range of community services and to see a reduction in demand on acute care and long term residential/nursing placements.

In addition we will aim to invest new schemes, particularly to support 7 day working across health and social care and information technology.

We are working with public health colleagues to retain a focus on early intervention and prevention and to ensure that a range of requirements are delivered through existing investments, for example supporting self care, alcohol services and falls prevention.

This plan has been supported by the evidence base from the JSNA and will link in with both CCG and Council commissioning plans for 2014/15 and 2015/16.

On Wirral it has been agreed that in addition to the national outcomes, there will be one additional locally agreed outcome, plus a range of other metrics that will be monitored to ensure delivery across all schemes. Success will be measured on the basis of reduction in activity in acute care, reduction in long stay residential and nursing care home placements and the delivery of a responsive range of quality community services across health and social care.

#### **d) Implications for the acute sector**

Set out the implications of the plan on the delivery of NHS services including clearly identifying where any NHS savings will be realised and the risk of the savings not being realised. You must clearly quantify the impact on NHS service delivery targets including in

the scenario of the required savings not materialising. The details of this response must be developed with the relevant NHS providers.

The overall impact on the acute sector is described in the CCG 5 year Strategic Plan (2014-19) attached. This outlines how acute care is intended to change over this period and includes significant movement of care from a hospital setting to a community setting and a concurrent reduction in the size and the cost of the acute hospital.

The economy will need to reduce demand on secondary care in order to make this possible, with a specific target of a reduction of 15% in emergency admissions over 2 years. This equates to a £9.3 million efficiency and a total reduction in emergency admissions of 8200 per year (22 per day). This target is extremely challenging to achieve. It should also be noted that a 20% reduction in planned care demand is required over the same period.

As part of the BCF plan for 14/15 and 15/16 there will be investment in community 7 day provision across health and social care which will deliver some of the system efficiencies required in 15/16. In addition there are a number of schemes proposed for joint commissioning (particularly where services are commissioned separately at present) which will deliver system efficiencies in 15/16. There will also need to be areas where health and social care have agreed continuing funding from previous years agreements. Some of the efficiencies required in 15/16 and beyond will need to be delivered through a direct reduction in the value of the provider contracts (acute trust, community, mental health, GPs and social care providers). This will need to be discussed as part of the 14/15 and 15/16 contract negotiations.

In addition the Better Care Fund should also supporting the achievement of:

- Reduction in A&E attendances
- Reduction in need for emergency bed days
- Reduction in length of stay
- Reduction in readmissions
- Reduction in the conversion rate from A&E attendance to non-elective admission

Given the challenge that the 15% target represents it is vital that the development of risk management and governance is agreed between Wirral CCG and Wirral Council.

#### **e) Governance**

Please provide details of the arrangements are in place for oversight and governance for progress and outcomes

The primary body to oversee the governance of this process will be the Wirral Health and Wellbeing Board, however this is supported by a joint commissioning group where monthly finance, performance and outcome reports will be discussed. In addition there are specific governance arrangements being agreed between all partners to support the Vision 2018 programme. Budget implications and performance actions will reported to the CCG Governing Body and Council Cabinet.

### 3) NATIONAL CONDITIONS

#### a) Protecting social care services

Please outline your agreed local definition of protecting adult social care services

We will ensure that any service user whose support needs are currently met by social care will continue to be met under the current arrangements (provided they are eligible), in a time of growing demand and budgetary pressures. Maintaining eligibility criteria is one aspect, however, we will also focus upon developing new forms of joined up care and community services which help ensure individuals remain healthy, well and independent, wherever possible enabled to stay within their own homes. We will focus upon protecting and enhancing the quality of care and working collaboratively to promote early interventions and self management wherever possible. A key focus of the services that we commission will be to ensure quality of care and with an associated reduction in safeguarding referrals, alerts and concerns.

b) Please explain how local social care services will be protected within your plans

Current funding has been used to enable the LA to sustain the current level of eligibility and to provide timely assessments, care management and review and commissioned services to those with critical or substantial unmet needs and signposting those who are non FACS eligible. The Council has funded demographic growth for both older people and learning disability services and delivered contractual increases where appropriate. This will need to be sustained, if not increased, in order to deliver 7 day services and meet the additional requirements of the care bill.

This does not mean that services will remain the same, for example, a short term intensive recovery programme (reablement) may mean that someone learns to live more independently and as a result their needs for formal support would be reduced and any social care package might be reduced appropriately.

#### b) 7 day services to support discharge

Please provide evidence of strategic commitment to providing seven-day health and social care services across the local health economy at a joint leadership level (Joint Health and Wellbeing Strategy). Please describe your agreed local plans for implementing seven day services in health and social care to support patients being discharged and prevent unnecessary admissions at weekends

This would aim to achieve the national requirements for 24/7 day admission avoidance and discharge as a priority, where appropriate.

It has been agreed that 7 day working (8am to 8pm) developments will focus on the following:

- Social care 7 day working with a priority focus on Integrated Discharge Team, care arranging team & step up step down multi-disciplinary team.
- Primary care 7 day working

- Full access to community services 7 days (e.g. dom care/reablement/IMC/community equipment etc)

It is clear that while 7 day working is also currently being addressed in secondary care services (acute, mental health), the focus of national guidance is to prioritise any investment in primary, community and social care outside the hospital to drive transformation and redesign across all settings. The key outcome will be to reduce demand in acute services.

Work is underway to redesign pathways to ensure timely assessments and safe transfers. Assessment of additional capacity is underway. A costed plan for the 7 day services will be developed in 2014 for implementation in advance of the 14/15 winter pressure period, running in parallel with a range of interventions to avoid admissions and promote early intervention and prevention.

### **c) Data sharing**

Please confirm that you are using the NHS Number as the primary identifier for correspondence across all health and care services.

The NHS number is not currently being used as the primary identifier for correspondence across all health and social care services. The Information Technology work stream of the Integration Programme in Wirral will ensure that the NHS number will be used for all health and social care correspondence and integrated working through the implementation of new systems which ensure a single view of key information on patients and service users for health and social care professionals to support integrated working.

The IT workstream of integration board is working to link systems together across providers (System One, Liquid Logic, Cerner, including primary care systems). The aim is to link all provider systems (including social care). This could be done using existing capital funding in addition to any BCF investment.

If you are not currently using the NHS Number as primary identifier for correspondence please confirm your commitment that this will be in place and when by

We are committed to ensuring that the NHS number is the primary identifier for correspondence and will ensure that this is in place by April 2015.

Please confirm that you are committed to adopting systems that are based upon Open APIs (Application Programming Interface) and Open Standards (i.e. secure email standards, interoperability standards (ITK))

There is a significant commitment and a Privacy Impact assessment has been completed and signed off by Governance lead. All of our clinical systems are NHS Interoperability Toolkit compliant. The adoption of open standards, including API's is central to the ambition to create a single data warehouse that underpins the Wirral vision of Integration.

Please confirm that you are committed to ensuring that the appropriate IG Controls will be in place. These will need to cover NHS Standard Contract requirements, IG Toolkit requirements, professional clinical practise and in particular requirements set out in Caldicott 2.

Yes, all organisations are required to be level 2 IG toolkit compliant. Data sharing and Information Governance, agreed between Caldecott officers is well advanced. There are compliance IG meetings held regularly.

We are committed to ensuring:

- Confidential information about service users or patients should be treated confidentially and respectfully.
- Members of the care team should share information when it is needed for the safe and effective care of the individual
- Information that is shared for the benefit of the community should be anonymised
- An individual's right to object about the sharing of information should be respected
- Organisations should put policies, procedures and systems in place to ensure confidentiality rules are followed

Wirral Council is currently tendering for additional/specialist Information Governance support to focus on the IG Toolkit and data sharing agreements.

#### **d) Joint assessment and accountable lead professional**

Please confirm that local people at high risk of hospital admission have an agreed accountable lead professional and that health and social care use a joint process to assess risk, plan care and allocate a lead professional. Please specify what proportion of the adult population are identified as at high risk of hospital admission, what approach to risk stratification you have used to identify them, and what proportion of individuals at risk have a joint care plan and accountable professional.

The Wirral Economy has an integration board which was being directed by a Chief Executive Steering Group chaired by the CCG Chief Officer and is now part of the Vision 2018 governance structure. The board was originally established to support the Department of Health's Long Term Conditions Programme on Wirral which aimed to implement the 3 core areas of the programme, integrated teams, risk stratification and self care support. The board membership has included both the CCG and Social Services and engaged all major providers (acute trust, community trust and the mental health trust). As a result of this work the Wirral Economy is advanced in implementing integrated teams and risk stratification and has also commissioned an online self care support service (Puffell).

Integrated Care Coordination teams will be active across Wirral by end of March 2014. People identified as high risk of admission (risk stratification or other) will be allocated a coordinator of care who will be their lead professional. Joint documentation has been developed as part of referral process, assessment and plan of care to include review. The appropriate accountable professional may be different according to needs for example social worker, community nurse, CPN, therapist.

The Risk Stratification process has been developed in Wirral. This is a risk stratification algorithms model that predicts the risk of emergency admission for all registered patients



that will allow Wirral patients to be risk stratified to show likelihood of admission. The data extraction to identify the proportion of the adult population at high risk will be completed by the end of February 2014, and once permission has been gained from those patients in accordance with the information sharing protocols that we have put in place, the relevant information will be shared with the Integrated teams who will identify a care co-ordinator, and jointly develop an integrated care plan for each of these patients.

#### 4) RISKS

Please provide details of the most important risks and your plans to mitigate them. This should include risks associated with the impact on NHS service providers

<b>Risk</b>	<b>Risk rating</b>	<b>Mitigating Actions</b>
As the reduction in funding from the CCG budget will not be offset by the redesign work / possible efficiencies	High	Prioritisation of initiatives to offset loss of budget; robust monthly performance monitoring and management with appropriate escalation and governance.
As there are cuts to the DASS budget the BCF transfer will not offset the impact	High	Prioritisation of initiatives to offset loss of budget; robust monthly performance monitoring and management with appropriate escalation and governance.
If the reduction in demand on the acute trust is not delivered and if the internal pathways in the acute trust are not adequately redesigned the cost will need to be met by an economy wide risk share	High	<p>A stepped approach to the redesign over 5 years (no dramatic reduction in capacity) and a transitional approach via contracting.</p> <p>Ensuring that a whole system performance management process (both operational and strategic) is in place.</p> <p>An approach to demand reduction including self management and raising public awareness of changes.</p> <p>Early identification of issues and escalation into the Vision 2018 board will be critical. Monthly exception reporting will be developed.</p>
Shifting of resources to fund new joint interventions and schemes will destabilise current service providers particularly in the acute sector	High	<p>Plans will be based on the Vision 2018 strategy currently under discussion, linking with the 5 year strategic plan</p> <p>There is a commitment across the health and social care economy to work together on a collaborative approach to</p>

		<p>redesign, integrated working and risk sharing.</p> <p>Consideration will be given to transitional support to providers.</p>
<p>The impact of the Care Bill currently going through Parliament and expected to receive Royal Assent in 2014 will result in a significant increase in the cost of care provision in 15/16 onwards that is not fully quantifiable currently and will impact the sustainability of current social care funding and plans.</p>	High	<p>Wirral Council to undertake a detailed impact assessment of the effects of the care bill once requirements are fully known.</p>
<p>There is a risk that a change in the cultures and behaviours of front line staff and organisations (across all partner organisations) is not delivered (which is required to support the whole system redesign required).</p>	High	<p>Vision 2018 programme will address this via one of the workstreams</p>
<p>Failing to achieve BCF outcomes and additional locally agreed outcomes will impact significantly on system flow and financial balance.</p>	High	<p>Robust performance monitoring and management against agreed trajectories for improvement, including residential/nursing placements and acute demand.</p> <p>Commitment to joint commissioning in all appropriate areas.</p>
<p>Improvements in the quality of care and in preventative services will fail to translate into the required reductions in acute and nursing/care home activity by 2015/16 impacting the overall funding available to support core services and future schemes.</p>	High	<p>2014/15 will be used to test and refine these assumptions, with a focus on developing detailed business cases and service specifications.</p> <p>We have undertaken a capacity and demand analysis for key parts of the system (e.g. step up step down care) and will continue to build on this throughout 2014/15.</p>
<p>Operational pressures and</p>	High	<p>Consideration of the need for double</p>

capacity will restrict the ability of our workforce to deliver.		running / transitional capacity while service redesigns are implemented.
Failure to deliver the BCF outcomes could impact upon quality of patient care and service provision.	High	Monitoring of key additional outcomes for quality of care to be integral to performance reporting to allow mitigation of any issues highlighted.

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## Association

## Finance - Summary

For each contributing organisation, please list any spending on BCF schemes in 2014/15 and the minimum and actual contributions to the Better Care Fund pooled budget in 2015/16.

Organisation	Holds the pooled budget? (Y/N)	Spending on BCF schemes in 14/15	Minimum contribution (15/16)	Actual contribution (15/16)
Wirral MBC (DFG & SCCG)	To Be Determined		3076	3076
NHS Wirral CCG (Reablement & Carers)		2816	2816	2816
NHS Wirral CCG (from core budget)		1766	13865	15631
NHS England (Existing Social Care Trf - Share of £900m)		6444	8252	8252
NHS England (Additional Social Care Trf - Share of £200m)		1500		
Wirral MBC additional core resource (reablement, carers and PH)		2803		2803
For further consideration in 2015/16: potential core resource (residential / nursing)			For further discussion	
<b>BCF Total</b>	0	15329	28009	32578

Approximately 25% of the BCF is paid for improving outcomes. If the planned improvements are not achieved, some of this funding may need to be used to alleviate the pressure on other services. Please outline your plan for maintaining services if planned improvements are not achieved.

Wirral Council and NHS Wirral CCG have agreed to hold a contingency fund of 5% in 2015/16 to mitigate the risk of not achieving outcomes and reducing non elective acute demand by 15%. In addition there has been agreement in principle on a 50%-50% risk share on overspends (or the appropriate split of risk based on core contribution to the total pooled budget).

Contingency plan:		2015/16	Ongoing
Outcome 1	Planned savings (if targets fully achieved)	Awaiting modelling to assess benefits including savings	
	Maximum support needed for other services (if targets not achieved)		
Outcome 2	Planned savings (if targets fully achieved)		
	Maximum support needed for other services (if targets not achieved)		

Please list the individual schemes on which you plan to spend the Better Care Fund, including any investment in 2014/15. Please expand the table if necessary.

BCF Investment	Lead provider	2014/15 spend		2014/15 benefits		2015/16 spend		2015/16 benefits	
		Recurrent	Non-recurrent	Recurrent	Non-recurrent	Recurrent	Non-recurrent	Recurrent	Non-recurrent
<b>Existing Schemes Total</b>		12868443		Awaiting modelling to assess benefits		12868443	Awaiting modelling to assess benefits		
Step Up - Step Down Approach (SU/SD)		5445000				5445000			
Joint Carers Strategy		765000				765000			
Maintaining Eligibility Criteria		4193824				4193824			
Crisis Response Service (IDT)		300000				300000			
Care & Support Bill Implementation		538000				538000			
Joint Posts (mental health)		415909				415909			
Telecare / Assistive technology (including £250K public health spend)		750000				750000			
Community Equipment & Adaptions		300000				300000			
Joint Finance Schemes		160710				160710			
<b>7 day Working Total</b>		1085290		Awaiting modelling to assess benefits		9202016	Awaiting modelling to assess benefits		
Admission Prevention Service		Will be modelled				Will be modelled			
Integrated Discharge Team		on a scheme by				on a scheme by			
Care Arranging Team		scheme basis				scheme basis			
Step Up - Step Up Down 7 Days		for 2nd submission				for 2nd submission			
Extension of 7 day working (primary, community, social care incl Integrated Care Coordination Teams)		following further provider engagement				following further provider engagement			
7 day working acute care (planned)									
Extended access primary care									
<b>Admission avoidance</b>		900000	Awaiting modelling to assess benefits			3928000	Awaiting modelling to assess benefits		
Older Peoples Rapid Assessment Service		Will be modelled				Will be modelled			
Community Geriatrician		on a scheme by				on a scheme by			
IT Investment		scheme basis				scheme basis			
North West Ambulance Service (NWS) Avoidance		for 2nd submission				for 2nd submission			
Care homes schemes		following further provider engagement				following further provider engagement			
Homeless service									
Urgent care community centres									
Additional step up step down capacity									
<b>Mental Health</b>			Awaiting modelling to assess benefits			228000	Awaiting modelling to assess benefits		
Dementia shared care Local Enhanced Service (LES)									
Early onset dementia									
<b>Early intervention and prevention</b>		400000	Awaiting modelling to assess benefits			1800000	Awaiting modelling to assess benefits		
Falls (Public Health spend)		400000							
3rd sector						1400000			
DFG						2073000			
Social capital						1003000			
<b>Joint modelling and financial capacity</b>		75000				75000			
<b>Contingency (5%) to mitigate double running and outcome delivery</b>						1400450			
<b>Total</b>		15328733				32577909			

12868443

**Awaiting modelling to assess benefits**

The NHS Wirral CCG and Wirral Council are currently working on modelling through the impact of all the above schemes against the baseline. This will allow an accurate picture of the benefits of each scheme to be set out. It is envisaged that the 2014/15 modelling will be

## Outcomes and metrics

For each metric other than patient experience, please provide details of the expected outcomes and benefits of the scheme and how these will be measured.

The 6 metrics that will be measured against a baseline of 2012/13 and 2013/14 are currently under development and will be fully populated for the April submission. Baselines have been set, work is now ongoing to set targets which take into account challenge and consideration of how we benchmark for each KPI against the region. Peer challenge will be part of this process.

For the patient experience metric, either existing or newly developed local metrics or a national metric (currently under development) can be used for October 2015 payment. Please see the technical guidance for further detail. If you are using a local metric please provide details of the expected outcomes and benefits and how these will be measured, and include the relevant details in the table below

This has been raised with the Local Area Team to clarify when the national metric will be available and whether it is appropriate for local measures to be developed in isolation to this.

For each metric, please provide details of the assurance process underpinning the agreement of the performance plans

The performance plans against each metric will be agreed by the Wirral Joint Strategic Commissioning Group (NHS Wirral CCG and Wirral Council) and overseen by the Wirral Health and Wellbeing Board.

If planning is being undertaken at multiple HWB level please include details of which HWBs this covers and submit a separate version of the metric template both for each HWB and for the multiple-HWB combined

Not relevant for Wirral as coterminous

Metrics		Current Baseline (as at...)	Performance underpinning April 2015 payment	Performance underpinning October 2015 payment
Permanent admissions of older people (aged 65 and over) to residential and nursing care homes, per 100,000 population	Metric Value	909.4	N/A	
	Numerator			
	Denominator			
		( April 2012 - March 2013 )		
Proportion of older people (65 and over) who were still at home 91 days after discharge from hospital into reablement / rehabilitation services	Metric Value	92.40%	N/A	
	Numerator			
	Denominator			
		( April 2012 - March 2013 )		
Delayed transfers of care from hospital per 100,000 population (average per month)	Metric Value	89.3		
	Numerator			
	Denominator			
		( insert time period )		
Avoidable emergency admissions (composite measure)	Metric Value	2881.7		
	Numerator			
	Denominator			
		( TBC )		
Patient / service user experience [for local measure, please list actual measure to be used. This does not need to be completed if the national metric (under development) is to be used]			N/A	
		( insert time period )		
LOCAL MEASURE: Percentage of care packages commenced within initial contact with agency	Metric Value	6.90%		
	Numerator			
	Denominator			
		(April 2012 - March 2013)		

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NHS Wirral Clinical Commissioning Group & Wirral Council  
Better Care Fund Performance Metrics 2014/15

Hospital Admissions & Discharges Objectives: To prevent avoidable admissions and facilitate timely and appropriate discharges	Baseline 2012-13	Baseline 2013-14	Benchmarking Data (North West)	Direction of Travel	Current Performance at xxx	YTD Target 2014-15	Overall Status
Non-elective admissions per 1,000 population (65+)	287.9 2012-13	290.8 2013-14 (F)	282.0 Oct 12 - Sep 13	↑			
Non-elective bed days per 1,000 population (65+)	2,223 2012-13	2,133 2013-14 (F)	2,533 Oct 12 - Sep 13	↓			
Non-elective re-admission rate within 30 days (65+)	15.7% 2012-13	16.7% Apr 13 - Nov 13	16.6% Oct 12 - Sep 13	↑			
Non-elective re-admission rate within 90 days (65+)	26.1% 2012-13	26.7% Apr 13 - Nov 13	24.6% Oct 12 - Sep 13	↑			
Number of re-admissions from transitional beds (65+)	N/A	N/A	N/A	-			
□ Average monthly bed days lost due to delayed transfers of care per 100,000 population (18+)	89.3 Apr 12 - Mar 13	63.6 Apr 13 - Dec 13	194.2 Apr 13 - Dec 13	↓			
□ Total number of avoidable admissions per 100,000 population	2,881.7 2012-13	2,803.8 2013-14 (F)	2376.3 2013-14 (F)	↓			

**Re-admissions from transitional beds**

- Transitional beds are a new provision from 2014-15 and therefore no baseline data is available.

**Average monthly bed days lost due to delayed transfers of care per 100,000**

- HWBs can choose an appropriate period against which to baseline although it should cover at least 6 months and be the latest available data
- April 2015 payment will be based on Apr-Dec 2014
- October 2015 payment will be based on Jan-Jun 2015

**Total number of avoidable admissions per 100,000 population**

- This is a composite measure of:
  - Unplanned hospitalisation for chronic ambulatory care sensitive conditions;
  - Unplanned hospitalisation for asthma, diabetes and epilepsy in children;
  - Emergency admissions for acute conditions that should not usually require hospital admission (all ages);
  - Emergency admissions for children with lower respiratory tract infection
- The baseline should be based on 2012-13 data
- April 2015 payment will be based on Apr 2014 - Sep 2015
- October 2015 payment will be based on Oct 2014 - Mar 2015

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Support in the Community Objectives: To support independence and resilience within the community	Baseline 2012-13	Baseline 2013-14	Benchmarking Data (North West)	Direction of Travel	Current Performance at xxx	YTD Target 2014-15	Overall Status
Proportion of people who were still at home 91 days after discharge from hospital into reablement services (65+)	92.4%	Data not yet available	81.4% 2012-13	-			
Proportion of people who were offered reablement services following discharge from hospital (65+)	1.7% Oct-Dec 2012	Data not yet available	3.2% 2012-13	-			
Total number of domiciliary care hours commissioned per annum (65+)	647,000 2012-13	616,000 2013-14 (F)	N/A	↓			
Total number of reablement hours commissioned per annum (65+)	46,000 2012-13	48,000 2013-14 (F)	N/A	↑			
□ % of care packages commenced within 24 hours of initial contact with agency	6.9% 2012-13	11.0% Apr 13 - Dec 13	N/A	↑			
Number of carers who have received a needs assessment or review and a specific carers service, or advice and information	15.9% 2012-13	5.9% Apr 13 - Dec 13	33.0% 2012-13	↓			

**Reablement**

- Reablement metrics are calculated as part of DASS statutory returns. Discharges for Q3 2013-14 are analysed with their subsequent status in Q4 captured to enable calculation of these metrics.
- With effect from 13<sup>th</sup> January 2014 all referrals have been made to a single provider specialising in reablement services. Previously 3 providers had been used who operated both reablement and domiciliary care services. This should facilitate improved outcomes for individuals and also ensure wider coverage/availability of this service.

**Domiciliary Hours**

- 5% reduction in annual domiciliary hours for 2013-14. This reduction is representative of a reduction in the average number of hours per person as the overall number of people supported remains consistent.
- Under the terms of the new domiciliary care contract providers must respond to requests for new packages within 1 hour and offer a start time within 24 hours. Performance against these measures will be monitored as part of the contract management process.

Nursing & Residential Care Objectives: To reduce the reliance on permanent nursing and residential care beds and to maximise the use of transitional beds to alleviate hospital pressures	Baseline 2012-13	Baseline 2013-14	Benchmarking Data (North West)	Direction of Travel	Current Performance at xxx	YTD Target 2014-15	Overall Status
□ Permanent admissions to residential and nursing care homes per 100,000 population (65+)	909.4 2012-13	880.0 Nov 13	855.0 Oct 12 - Sep 13	↓			
Proportion of people discharged direct to residential care (65+)	10.2% 2012-13	7.0% Apr 13 - Dec 13	2.7% Oct 12 - Sep 13	↓			
Average length of stay in intermediate care beds (65+)	6.4 weeks 2012-13	5.8 weeks Nov 13	N/A	↓			
Number of admissions to intermediate care beds (65+)	241 2012-13	247 2013-14 (F)	N/A	↑			
Average length of stay in transitional beds (65+)	N/A	N/A	N/A	-			
Number of admissions to transitional beds from the community (65+)	N/A	N/A	N/A	-			

**Permanent Admissions to residential and nursing care**

- The baseline for this metric should be based on 2012-13 data.
- Payment for this metric will be in October 2015 based on 2014-15 data.
- Wirral is in the bottom quartile of North West authorities (19<sup>th</sup> out of 22)

**Intermediate Care / Transitional Beds**

- Wirral Adult Social Services are currently in the process of tendering for the provision of both intermediate care and transitional beds (35 each). These contracts are planned to commence from 1st April 2014.
- Transitional beds are a new provision from 2014-15 and therefore no baseline data is available.

Finance & User Experience Objectives: To ensure appropriate use of funding and that individuals have a positive experience of care	Baseline 2012-13	Baseline 2013-14	Benchmarking Data (North West)	Direction of Travel	Current Performance at xxx	YTD Target 2014-15	Overall Status
Proportion of local authority adult social care expenditure on residential/nursing care (65+)	62.3% 2012-13	Data not yet available	55% 2012-13	-			
Wirral CCG expenditure on excess bed days	£4.2m 2012-13	£3.7m 2013-14 (F)	N/A				
Wirral CCG expenditure on non-elective admissions for social care related HRGs							
Proportion of all deaths which occur at home / in care homes (65+)			42.6% Jan 12 - Dec 12				
□ Patient / service user experience (National measure currently under development)	N/A	N/A	N/A	-			

**Financial Expenditure**

- The proportion of adult social care expenditure is an annual measure calculated as part of the PSS EX1 return. Data for 2013-14 will not be available until May 2014.

**Patient / Service User Experience**

- National metric to evidence Patient / Service user experience is currently under development with details due to be announced when available. At present no timescales have currently been given by NHS England.
- Once developed the national metric will be reported in October 2015

□ Denotes Key Performance Metric

(F) Denotes forecast figure

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## **FAMILIES AND WELLBEING POLICY AND PERFORMANCE COMMITTEE – 28 JANUARY 2014**

### **MINUTE 42 – THE IMPLICATIONS OF THE FRANCIS REPORT FOR WIRRAL**

The Committee considered the report of the Members of the Francis Report Scrutiny Panel providing background information regarding the Final Report.

Members of the Panel had met a range of witnesses throughout the course of the Review and thanked all those who had assisted in the review by giving their time, experience and suggestions.

The Final Report, 'The Implications of the Francis Report for Wirral' was attached as an appendix to the report.

Members indicated that the Panel had been satisfied that Wirral University Teaching Hospital and other health services in Wirral provided a safe environment and high standard of care with excellent systems in place. The Panel had been impressed by the eagerness of the Hospital to improve care.

A Member commented that one of the recommendations within the report highlighted the need for elected members' role to reflect the views of their communities; this had not been done by Mid Staffs.

Dr Phil Jennings, Wirral CCG, commented that he was pleased that the Group had come to the same conclusion as the CCG, and urged the Committee to look at the wider remit of patient contact aside from the hospital.

In response to a Member in relation to the outcome of the Friends and Family Test, Mr David Allison, Chief Executive, Wirral University Teaching Hospital indicated that the hospital had been chosen to undertake this pilot and he was pleased that the test had been improved and that those wards that had scored high were to be used to share best practice throughout other wards within the hospital.

In relation to the Francis Report, Mr Allison indicated that he was pleased to note that the CQC had rated local hospitals Arrowe Park and Countess of Chester highly (Band 6) which was great news for the Wirral. He suggested that the Committee may wish to look at other health services where less regulation took place.

Ms Val McGee, Cheshire and Wirral Partnership NHS Trust, indicated that her organisation had not been scrutinised to the same level, however, they did apply the recommendations from the Francis Report to their services, in particular mental health. The CWP also had its own inspection regime and Friends and Family Test.

Mr Hodkinson, Director of Adult Social Services indicated that throughout this review a broad range of organisations and service providers were interviewed by Members and the final report made some good recommendations incorporating the comments made within the Francis report.

Further to the comments made by members and Health partners, it was suggested and agreed that a Panel to look at the performance of health services be established.

**RESOLVED: That**

- (1) the contents and recommendations of the implications of the Francis Report for Wirral Review be noted;**
- (2) the implications of the Francis Report for Wirral Report be referred to the next appropriate Cabinet meeting;**
- (3) an update report regarding the progress being made towards the implementation of the recommendations be presented to this Committee in approximately one year; and**
- (4) Alan Veitch, Scrutiny Support Officer be thanked for his support and guidance in completing the review;**
- (5) a Panel be established to look at the performance of health services for Wirral, Members of which be requested to report back to the Committee with their Terms of Reference in April 2014.**

# WIRRAL COUNCIL

## CABINET

13<sup>TH</sup> MARCH 2014

<b>SUBJECT:</b>	<b>THE IMPLICATIONS OF THE FRANCIS REPORT FOR WIRRAL</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>THE CHAIR OF THE FRANCIS REPORT SCRUTINY PANEL</b>

### 1.0 EXECUTIVE SUMMARY

1.0 This report provides background information regarding the report of the Francis Report Scrutiny Review, which has been approved by the Families and Wellbeing Policy & Performance Committee and referred to Cabinet for further consideration.

### 2.0 BACKGROUND

2.1 The Leader of the Council made an announcement at Council on 11<sup>th</sup> February 2013. The minutes of the meeting read as follows:

*“The Leader referred to the shocking report published last week by Mr Robert Francis QC, which found serious failings in the quality of hospital care provided by Mid-Staffordshire NHS Foundation Trust. He expressed sorrow and concern for the families and friends of those affected and highlighted the importance of key partners in Wirral examining the report findings to determine whether any actions were required to ensure that no such failings happened in Wirral.*

*Although there was no suggestion of any issues concerning the quality of hospital care provided in Wirral, he proposed as a matter of urgency that, in order to uphold the highest possible standards of care, a proactive approach be taken to recognise and deal with service failures before things go badly wrong, as happened in Mid-Staffs: –*

*(i). As Chair of Wirral’s Health and Well Being Board, he would be seeking an urgent meeting to discuss the key issues from the Francis Report and to ask the Clinical Commissioning Group to present a report on their governance and monitoring arrangements; to include input from Healthwatch, in relation to their new role and how it would act as an early warning system.*

*(ii). He proposed also to write to the Chair of the Council’s Health and Well Being O&S Committee to suggest that a similar discussion takes place and that the Committee consider the establishment of a ‘Task and Finish’ group to ascertain in detail the suitability of governance and monitoring arrangements”.*

2.2 In response, the meeting of the former Health and Wellbeing Overview & Scrutiny Committee, held on 13<sup>th</sup> March 2013 received a report on ‘The Mid Staffordshire NHS Foundation Trust Public Inquiry’. The meeting resolved that:

*(i) the Mid Staffordshire NHS Foundation Trust Public Inquiry be noted; and  
(ii) a Task and Finish Group be set up with Councillors Brighouse, Hornby, McLaughlin and Povall to ensure that the failures of care in Mid Staffs were not*

*being replicated in Wirral.*

Subsequently, a Scrutiny Panel was formed to undertake detailed work and Councillor Roberts became an additional member of the group.

2.3 The overall objectives of the Review were identified:

- To understand the current monitoring and reporting arrangements, and if necessary, propose improvements.
- To assess, from a layperson's view, that the monitoring arrangements translate into adequate standards of care. It was agreed that the major focus for the Review will be the services provided by Wirral University Teaching Hospital Foundation Trust (WUTH).
- To determine whether Council scrutiny of the health providers in Wirral is as robust as it needs to be.

### **3.0 EVIDENCE GATHERING AND REPORT**

3.1 The Task & Finish Group Members have met with a range of witnesses throughout the course of the Review. The final report, 'The Implications of the Francis Report for Wirral' was presented to the meeting of the Families and Wellbeing Policy & Performance Committee on 28<sup>th</sup> January 2014. The relevant draft minute from that meeting is:

*The Committee considered the report of the Members of the Francis Report Scrutiny Panel providing background information regarding the Final Report.*

*Members of the Panel had met a range of witness throughout the course of the Review and thanked all those who had assisted in the review by giving their time, experience and suggestions.*

*The Final Report, 'The Implications of the Francis Report for Wirral' was attached as an appendix to the report.*

*Members indicated that the Panel had been satisfied that Wirral University Teaching Hospital and other health services in Wirral provided a safe environment and high standard of care with excellent systems in place. The Panel had been impressed by the eagerness of the Hospital to improve care.*

*A Member commented that one of the recommendations within the report highlighted the need for elected members' role to reflect the views of their communities; this had not been done by Mid Staffs.*

*Dr Phil Jennings, Wirral CCG, commented that he was pleased that the Group had come to the same conclusion as the CCG, and urged the Committee to look at the wider remit of patient contact aside from the hospital.*

*In response to a Member in relation to the outcome of the Friends and Family Test, Mr David Allison, Chief Executive, Wirral University Teaching Hospital indicated that the hospital had been chosen to undertake this pilot and he was pleased that the test had been improved. Mr Allison indicated that the A&E target over the winter period was of a concern but that the targets set in relation to admissions had been met and that those wards that had scored high were to be used to share best practice throughout other wards within the hospital.*

*In relation to the Francis Report, Mr Allison indicated that he was pleased to note that the CQC had rated both hospitals in Wirral highly (Band 6) which was*

*great news for the Wirral. He suggested that the Committee may wish to look at other health services where less regulation took place.*

*Ms Val McGee, Cheshire and Wirral Partnership NHS Trust, indicated that her organisation was not subjected to inspection, however, they did apply the recommendations from the Francis Report to their services, in particular mental health. The CWP also had its own inspection regime and Friends and Family Test.*

*Mr Hodkinson, Director of Adult Social Services indicated that throughout this review a broad range of organisations and service providers were interviewed by Members and the final report made some good recommendations incorporating the comments made within the Francis report.*

*Further to the comments made by members and Health partners, it was suggested and agreed that a Panel to look at the performance of health services be established.*

**RESOLVED: That**

**(1) the contents and recommendations of the implications of the Francis Report for Wirral Review be noted;**

**(2) the implications of the Francis Report for Wirral Report be referred to the next appropriate Cabinet meeting;**

**(3) an update report regarding the progress being made towards the implementation of the recommendations be presented to this Committee in approximately one year; and**

**(4) Alan Veitch, Scrutiny Support Officer be thanked for his support and guidance in completing the review;**

**(5) a Panel be established to look at the performance of health services for Wirral, Members of which be requested to report back the Committee with their Terms of Reference in April 2014.**

#### **4.0 REFERRAL TO CABINET**

4.1 As agreed by the Families and Wellbeing Policy & Performance Committee, the Scrutiny Report 'The Implications of the Francis report for Wirral', which is attached as an appendix, has been referred to Cabinet for further consideration.

#### **5.0 RECOMMENDATIONS**

- (1) Cabinet is requested to support the contents and recommendations of the Francis Report Scrutiny Review;
- (2) Cabinet requests Officers to develop and implement an Action Plan to implement the recommendations contained within the report.

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**THE IMPLICATIONS OF THE FRANCIS REPORT FOR  
WIRRAL**

**SCRUTINY REVIEW**



**FRANCIS  
REPORT**

*A report produced by*  
**THE FAMILIES AND WELLBEING  
POLICY & PERFORMANCE COMMITTEE**

*January 2014  
FINAL REPORT*

WIRRAL BOROUGH COUNCIL

THE IMPLICATIONS OF THE FRANCIS REPORT FOR WIRRAL

SCRUTINY REVIEW

FINAL REPORT

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## **1. INTRODUCTION**

At the meeting of the former Health and Wellbeing Overview & Scrutiny Committee, held on 13<sup>th</sup> March 2013, Members agreed to undertake an in-depth Scrutiny Review to investigate the implications of the Francis Report for Wirral. As a result, a Scrutiny Panel comprising five Members has held a series of meetings in order to obtain appropriate evidence.

An Executive Summary of the findings follows, together with the recommendations arising from this Review. The Report then sets out the background to the original brief, as well as the methodology adopted for gathering the evidence. This is followed by the main body of the Report which details the national context, the key findings of the Review and the evidence gathered in support of the recommendations proposed by the Scrutiny Panel Members.

## **2. EXECUTIVE SUMMARY AND RECOMMENDATIONS**

### ***National Picture:***

In June 2010, Robert Francis QC was asked by the Secretary of State for Health to undertake a public inquiry into the failures of Mid Staffordshire NHS Foundation Trust. The Francis Report was published on Wednesday 6 February 2013.

The report exposes the appalling suffering of patients at Stafford Hospital. It further recognises that what happened in Mid Staffordshire was a system failure, as well as a failure of the organisation itself and concludes that a fundamental change in culture is required to prevent such a failure from happening again. It stresses the importance of avoiding a blame culture and proposes that the NHS should develop a learning culture aligned with the needs and care of patients.

The report also concluded that the Trust Board did not sufficiently listen to its patients and staff and failed to tackle a negative culture involving tolerance of poor standards and disengagement from managerial and leadership responsibilities. Performance management systems designed to identify poor practice showed on many levels that Mid-Staffordshire was a successful Trust, whilst in reality it was failing patients.

In November 2013, the Government formally responded to the Francis Report, accepting the vast majority of the 290 recommendations, placing particular emphasis on compassion and care for patients; culture and standards of care; openness and transparency; and the importance of leadership in an organisation.

### ***Context:***

Although this Scrutiny Review has focused particularly on the work of the largest hospital in Wirral, Wirral University Teaching Hospital (WUTH), it is noted that problems are equally likely to occur anywhere in the health system, for example, in a care home or in a unit for people with disabilities. Indeed, another Scrutiny Panel is currently investigating the quality assurance and standards in care homes in Wirral and will produce a report in the near future. In addition, at the time of agreeing the Scope for this Review members did agree that, as other hospital services are provided in Wirral, it may be deemed appropriate to undertake a similar exercise to scrutinise those services in the future, for example, Clatterbridge Cancer Centre or Cheshire & Wirral Partnership Trust (CWP).

### ***Governance Arrangements:***

The Scrutiny Panel has reviewed the governance and monitoring arrangements in Wirral. The roles of a number of bodies are detailed in Section 7.1 of this Report, namely, the Area Team of NHS England, Wirral Clinical Commissioning Group (CCG), Wirral Health and Wellbeing Board, Wirral Department of Adult Social Services, Wirral Healthwatch, the Care Quality Commission (CQC) and the health service providers including Wirral University Teaching Hospital. In the early stages of this Review it was noted that the role of the Panel was to reassure themselves that governance arrangements were in place to enable early warning signs to identify potential problems and for those warning signals to be acted upon.

A key message from Mid Staffordshire was that, although data was available, no one pulled together the 'big picture'. In order to do so, it is necessary to pool information and intelligence across organisations. Subsequent to the Francis Report, the Area Team of NHS England has initiated monthly meetings of the Quality Surveillance Group, which brings together all the key partners to monitor performance across the health system. The development of this role is welcomed by the Scrutiny Panel. However, in order to fulfill their role of being a constructive critical friend to their local health partners, it is anticipated that members of the Families and Wellbeing Policy & Performance Committee will seek to further develop a positive, open and honest working relationship with those partners, sharing information where appropriate.

During this Review, Panel Members were re-assured by the processes which the CCG (as commissioner of many of the hospital services) has in place to monitor the delivery of good quality services. Likewise there was reassurance that mechanisms are in place within the CCG to enable early warning signs to identify potential problems. However, a number of sources provided the Panel Members with messages such as “there is a need to make it easier for patients to tell their experiences; both good and bad. Part of the challenge is to get people to make constructive criticism”.

The Care Quality Commission is responsible for making sure that services are safe, effective, compassionate and of high quality. Therefore, services are inspected to ensure standards of quality and safety. Reports and ratings are published for all providers. Panel Members were reassured that the Care Quality Commission is implementing a more in-depth inspection regime in the near future. The new regime will also place greater emphasis on feedback from staff and patients, with public listening events being held at the beginning of the inspection process.

Local Healthwatch has a key role to play as it is responsible for gathering and representing public views. Healthwatch must ensure that the views of people that use services are taken account of and that they influence the design and delivery of local services. There is a confidence that Wirral Healthwatch is in a better position than Mid Staffordshire to identify any serious issues. That confidence is based on the good relations that exist between partners, which help Healthwatch to perform its role as a critical friend. However, Panel members feel the role of Healthwatch needs further promotion to ensure the public are aware of its function.

Wirral University Teaching Hospital achieved Foundation Trust status in 2007. As such, Foundation Trusts have their own regulator, Monitor, which is responsible for assessing eligibility for Foundation Trust status; granting foundation trust status and monitoring compliance with those terms. These cover provisions relating to the trust’s governance arrangements, finances, and provision of agreed mandatory services, education and training. Eighteen months ago, Monitor raised issues with WUTH regarding 18 week waiting times and medicines management, which both had implications for governance. Over a 10 month period, governance arrangements were evaluated, being reviewed again in February 2013, by which time Monitor assessed that the Trust was ‘green’ for governance.

Members are, however, concerned that on 22<sup>nd</sup> November 2013, Monitor announced that it has launched an investigation into whether poor financial performance is indicative of Wirral University Teaching Hospital NHS Foundation Trust potentially breaching its licence to provide healthcare services. That investigation process with Monitor is currently ongoing.

### ***Assessment of care standards at Wirral University Teaching Hospital:***

Panel Members have completed their Review, concluding that WUTH is an organisation that is safe and, in general, providing a good standard of care. However, anecdotal evidence came to light which did give rise to some concerns, particularly in relation to the care of some elderly people and those with dementia and also in relation to nurse staffing levels. It is understood that WUTH is on a journey of improvement, which is recognised by senior management. One area identified for improvement is that of patient experience, where, although only one of several measures, the outcomes of the Friends and Family Test, implemented nationwide in April 2013 as a barometer of patient experience, shows WUTH performing less well than neighbouring hospitals in the Cheshire, Warrington and Wirral Area Team and in England as a whole.

In mid November, CQC undertook an annual inspection of WUTH, which is part of the unannounced inspection regime. The inspection report was very positive. In terms of governance processes, the CQC summary report commented:

“The trust had a robust governance framework in place that included systems and processes in place for monitoring the quality of services and risk management”.

In addition, CQC has recently provided each hospital in England with a risk rating, in the range of 1 to 6. WUTH has been allocated a rating of 6, the top rate. Panel Members warmly welcome this excellent rating for WUTH.

WUTH has undertaken an extremely thorough response to the Francis Report; this being a major priority for the Trust in recent months and an Action Plan for improvement is currently being implemented. A key component of the change is the introduction by WUTH of a document entitled 'Proud to Care', which sets out the Trust's values in nursing. The Chief Nursing Officer of NHS England refers to the 6 c's of nursing (namely: care, compassion, competence, communication, courage and commitment) in the Strategy for Nursing 'Compassion in Practice'. During 2013, the Director of Nursing at WUTH has been working with nurses, midwives and health care support workers to determine what that means in practice. 'Proud to Care', launched in December 2013, sets out the ethos and care standards which staff are expected to deliver at WUTH. The Panel Members warmly welcome this initiative as it is recognised that "the basics make an enormous difference". Members suggest that, in order to ensure that the scheme has a direct impact on patient experience, Wirral University Teaching Hospital is requested to develop a mechanism for analysing the impact of 'Proud to Care' on patient experience and provide update reports to the Families and Wellbeing Policy & Performance Committee.

### ***The strengthening of health scrutiny in Wirral:***

A number of recommendations in the Francis report made direct reference to the role of overview and scrutiny committees. Therefore, the Review Panel has used the opportunity of this Review to reflect on how best to take forward Health Scrutiny in Wirral.

Since 2010, all providers of NHS secondary care have been required to produce annual quality accounts: public reports of their performance on various locally selected quality measures, together with plans for improvement. There is an expectation that the committee responsible for Health Scrutiny will comment upon the Quality Accounts as they are prepared by local health providers. Recommendation 246 of the Francis Report includes "Quality accounts should be required to contain the observations of commissioners, overview and scrutiny committees, and Local Healthwatch". Department of Health guidance suggests that stakeholder engagement in the development of a Quality Account should be throughout the whole process. Good practice identified at Warwickshire County Council has illustrated the benefits arising from a group of members providing performance monitoring capacity and input in to the Quality Accounts process on an ongoing basis. Therefore, it is proposed that the Families and Wellbeing Policy & Performance Committee appoints a Panel of Members to undertake this approach in Wirral. It is anticipated the Panel will open a dialogue with the health partners to determine the data to be provided on a quarterly basis with the aim being that the process is not burdensome to the providers yet enables the Panel to act as a constructive, critical friend. However, it is important that this proposed Panel is able to add value by focusing on improvement work and does not become a bureaucratic process duplicating effort elsewhere.

The Panel Members understand that health scrutiny has a part to play in the governance arrangements along with a number of other bodies and organisations. One of the key messages of the Francis Report was that partners were engaged in the process and data was reported in Mid Staffordshire yet no one drew the evidence together and joined up the many signals that all was not well. The Panel Members therefore agree that it is imperative that constructive working relationships are further developed with scrutiny's key partners at a local level. The aim is to extend a collaborative working relationship which, at the same time, avoids duplication of effort. As a result, the Panel Members are proposing a series of recommendations aimed at strengthening the working relationship with Wirral Healthwatch, Wirral Health and Wellbeing Board, the Care Quality Commission and the Quality Surveillance Group which is led by the Area Team of NHS England. Further recommendations are aimed at strengthening the role of councilors undertaking their role as health scrutineers.

In considering the evidence found during the Review, the Panel Members have formulated the recommendations identified on pages 7 to 9.

## RECOMMENDATIONS

### Governance Arrangements

#### **Recommendation 1 – Relationship with health partners**

In order to fulfill their role of being a constructive critical friend to their local health partners, members of the Families and Wellbeing Policy & Performance Committee will seek to further develop a positive, open and honest working relationship with those partners.

*(Reference Section 7.1, page 22)*

#### **Recommendation 2 – Communication between Wirral University Teaching Hospital and GPs**

Wirral Clinical Commissioning Group is encouraged to further develop arrangements to enable GPs and Wirral University Teaching Hospital to communicate more effectively with particular reference to patient referral letters and subsequently patient feedback.

*(Reference Section 7.1, page 22)*

#### **Recommendation 3 – Further raising the profile of Healthwatch**

Healthwatch is expected to fulfill a key role in making sure that the public's voice on health and social care issues is heard whilst retaining its independence. Opportunities should be taken to further raise the public profile of Wirral Healthwatch. A presence on the Arrowe Park site could be considered as an effective step towards this goal.

*(Reference Section 7.1, page 22)*

### Assessment of care standards at Wirral University Teaching Hospital

#### **Recommendation 4 – ‘Proud to Care’**

The launch of the ‘Proud to Care’ document is very warmly welcomed. The Chief Executive at Wirral University Teaching Hospital is requested to develop a mechanism for analysing the impact of ‘Proud to Care’ on patient experience and provide update reports to the Families and Wellbeing Policy & Performance Committee.

*(Reference Section 7.2, page 28)*

#### **Recommendation 5 – Staffing levels on wards**

The Director of Nursing and Midwifery at Wirral University Teaching Hospital is requested to ensure that the proposed information regarding staffing levels on wards is easily understood and accessible to the public.

*(Reference Section 7.2, page 29)*

#### **Recommendation 6 – Unplanned admissions**

Wirral Clinical Commissioning Group is requested to provide regular reports to the Families and Wellbeing Policy & Performance Committee regarding actions being put in place and progress being made towards reducing unplanned admissions. It is expected that the on-going work with partners to further integrate social care and health provision will form a key component.

*(Reference Section 7.2, page 29)*

#### **Recommendation 7 – Cultural change**

The Chief Executive of Wirral University Teaching Hospital is encouraged to further develop the cultural change that is underway to order to further encourage staff and patients to provide feedback to hospital management.

*(Reference Section 7.2, page 29)*



## **The strengthening of health scrutiny in Wirral**

### **Recommendation 8 – Establishment of the Health Performance Monitoring Panel**

In order to fulfill health scrutiny's role to hold providers to account, the Families and Wellbeing Policy & Performance Committee will establish a standing member's panel to monitor the performance of health providers. It is suggested that the Panel will be known as the Health Performance Monitoring Panel and will be established in readiness to review the Quality Accounts produced by health partners in spring 2014.

*(Reference Section 7.3, page 31)*

### **Recommendation 9 – Data requirements of the Health Performance Monitoring Panel**

The Health Performance Monitoring Panel will agree appropriate monitoring data with each of the health partners. The data will be reported on a quarterly basis and may include data such as:

- Quarterly update of the Quality Account
- CLIPPE (Complaint, Litigation, Incident, Patient Advice and Liaison Service and Patient Experience) Report
- Complaints data
- Lessons learned and improvements made as a result of complaints
- Outcomes of Friends and Family Test
- Data relating to staffing, including levels and turnover

*(Reference Section 7.3, page 32)*

### **Recommendation 10 – The Local Authority's role in the Quality Accounts process**

The Families and Wellbeing Policy & Performance Committee will establish a mechanism to ensure that the Local Authority fulfills the requirement to provide comments regarding the Quality Accounts of health service providers.

*(Reference Section 7.3 page 32)*

### **Recommendation 11 – Protocol for effective working between Healthwatch and health scrutiny**

The Head of Policy & Performance / Director of Public Health is requested to develop a protocol between Healthwatch and health scrutiny in order to encourage collaborative and effective joint working. The protocol will be in place by the commencement of the 2014/15 municipal year.

*(Reference Section 7.3, page 32)*

### **Recommendation 12 – Framework for effective working between the Health & Wellbeing Board and health scrutiny**

The Head of Policy & Performance / Director of Public Health is requested to develop a framework to encourage a constructive working relationship between Health & Wellbeing Board and health scrutiny, ensuring that strategies reflect priorities and deliver outcomes.

*(Reference Section 7.3, page 32)*

### **Recommendation 13 – The relationship between the Care Quality Commission (CQC) and health scrutiny**

The Head of Policy & Performance / Director of Public Health is requested to develop a mechanism to enable members of the Families and Wellbeing Policy & Performance Committee to establish an effective working relationship with the Care Quality Commission (CQC).

*(Reference Section 7.3, page 33)*

### **Recommendation 14 – Information flow between the Quality Surveillance Group and health scrutiny in Wirral**

In order to enhance the current early warning mechanisms, the Health Performance Monitoring Panel is requested to establish an effective flow of information with the Quality Surveillance Group, led by the Area Team.

*(Reference Section 7.3, page 33)*



**Recommendation 15 – The role for elected members in reflecting the views of their communities**

The Head of Policy & Performance / Director of Public Health be requested to establish a mechanism to enable elected representatives (MPs and councillors), as a spokesperson of their communities, to reflect concerns and experiences to the Health Performance Monitoring Panel. The framework should be in place by the commencement of the 2014/15 municipal year.

*(Reference Section 7.3, page 33)*

**Recommendation 16 – Continuity of membership of health scrutiny**

In order to enhance the level of expertise and skills regarding health scrutiny among the members, the leadership of the political groups is encouraged to consider providing greater continuity of membership on the Families and Wellbeing Policy & Performance Committee.

*(Reference Section 7.3, page 34)*

**Recommendation 17 – Health scrutiny training**

The Head of Policy & Performance / Director of Public Health is requested to ensure that members feel that they have adequate skills and training to undertake their health scrutiny role effectively.

*(Reference Section 7.3, page 34)*

### **3. MEMBERS OF THE SCRUTINY PANEL**

#### ***Councillor Cherry Povall (Chair)***



The Francis Report was the result of an enquiry into the failings of the Mid-Staffordshire Foundation Trust. The Leader of Wirral Borough Council charged the Health and Wellbeing Overview and Scrutiny Committee to establish the suitability and robustness of monitoring and governance within WUTH. This Scrutiny Panel has taken an in-depth snapshot and looked at the current situation. We are indebted to the large number of witnesses who have given their time to meet with us to explore the position.

We are satisfied at this particular point in time that there does not appear to be any immediate risk to the people of Wirral. We are assured that the Clinical Commissioning Group has a robust system in place for the monitoring of WUTH and we are assured that the Care Quality Commission, in their evolving role, will have a more in-depth inspection regime over the next few months.

The hospital itself appears to have taken the failings of Mid-Staffs seriously reflected in the appointment of the new Director of Nursing, Jill Galvani. We were particularly impressed with her 'back to basics approach' which we feel will strengthen the overall performance of the hospital. Further work needs to be done to strengthen the relationship between health scrutiny at Wirral Council and WUTH to ensure good governance both now and in the future. With this in mind we are proposing the setting up of a Standing Committee to monitor both financial and governance related matters.

In the past, the public perception of PALS has been that it was a complaints body independent of hospital management. Although this was never the case, there is now an independent body, in Healthwatch, which should be promoted as such. We feel that Healthwatch should be given more prominence and its role clearly defined.

Overall we feel that the hospital is facing challenges but are fully aware that the patient needs to remain at the centre of what they do and the pursuit of tick boxing should not be allowed to cloud that central issue.

We would like to place on record our thanks to everyone who has spoken to us in preparing this report and a special thanks to our Scrutiny Support Officer Alan Veitch who has worked tirelessly to support us in this in-depth piece of work.

A handwritten signature in cursive script that reads "Cherry Povall". The signature is written in dark ink on a light-colored background.

Other Panel Members were:

***Councillor Alan Brighthouse***



***Councillor Mike Hornby***



***Councillor Moira McLaughlin***



***Councillor Denise Roberts***



**This Scrutiny Panel was supported by:**

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#### **4. BACKGROUND AND ORIGINAL BRIEF**

The Leader of the Council made an announcement at Council on 11<sup>th</sup> February 2013. The minutes of the meeting read as follows:

“The Leader referred to the shocking report published last week by Mr Robert Francis QC, which found serious failings in the quality of hospital care provided by Mid-Staffordshire NHS Foundation Trust. He expressed sorrow and concern for the families and friends of those affected and highlighted the importance of key partners in Wirral examining the report findings to determine whether any actions were required to ensure that no such failings happened in Wirral.

Although there was no suggestion of any issues concerning the quality of hospital care provided in Wirral, he proposed as a matter of urgency that, in order to uphold the highest possible standards of care, a proactive approach be taken to recognise and deal with service failures before things go badly wrong, as happened in Mid-Staffs:

- (i). As Chair of Wirral’s Health and Wellbeing Board, he would be seeking an urgent meeting to discuss the key issues from the Francis Report and to ask the Clinical Commissioning Group to present a report on their governance and monitoring arrangements; to include input from Healthwatch, in relation to their new role and how it would act as an early warning system.
- (ii). He proposed also to write to the Chair of the Council’s Health and Wellbeing O&S Committee to suggest that a similar discussion takes place and that the Committee consider the establishment of a ‘Task and Finish’ group to ascertain in detail the suitability of governance and monitoring arrangements”.

In response, the meeting of the Health and Wellbeing Overview & Scrutiny Committee, held on 13<sup>th</sup> March 2013 received a report on ‘The Mid Staffordshire NHS Foundation Trust Public Inquiry’. The meeting resolved that:

- (i) the Mid Staffordshire NHS Foundation Trust Public Inquiry be noted; and
- (ii) a Task and Finish Group be set up with Councillors Brighouse, Hornby, McLaughlin and Povall to ensure that the failures of care in Mid Staffs were not being replicated in Wirral.

Subsequently, a Scrutiny Panel was formed to undertake detailed work and Councillor Roberts became an additional member of the group. The draft Scope for the Review was developed by the members of the Review Panel and reported to a meeting of the Families and Wellbeing Policy & Performance Committee, held on 9<sup>th</sup> July 2013. The Scope Document is attached as Appendix 1 to this report.

The overall objectives of the Review were identified:

- To understand the current monitoring and reporting arrangements, and if necessary, propose improvements.
- To assess, from a layperson’s view, that the monitoring arrangements translate into adequate standards of care. It was agreed that the major focus for the Review will be the services provided by Wirral University Teaching Hospital Foundation Trust (WUTH).
- To determine whether Council scrutiny of the health providers in Wirral is as robust as it needs to be.

The remit of this Scrutiny Review has placed a specific emphasis on the implications of the Francis Report for Wirral in terms of local governance arrangements and, in particular, on the role of health scrutiny.

## 5. **METHODOLOGY FOR THE REVIEW**

The Panel has employed the following methods to gather evidence:

### 5.1 **Meetings**

A series of individual meetings has taken place at which the Scrutiny Panel Members could discuss relevant issues with the following:

- Wednesday 26<sup>th</sup> June 2013  
Lorna Quigley (Head of Quality and Performance, NHS Wirral Clinical Commissioning Group)
- Wednesday 26<sup>th</sup> June 2013  
Karen Prior (Manager, Wirral Healthwatch)
- Monday 22<sup>nd</sup> July 2013  
Colm Byrne (Regional Officer, Royal College of Nursing – RCN)
- Monday 22<sup>nd</sup> July 2013  
Sandra Wall (Chair, Wirral Older People’s Parliament)  
Pauline Sutton (Member, Wirral Older People’s Parliament)
- Monday 12<sup>th</sup> August 2013  
Sue Newnes (Manager, Wirral Alzheimer’s Society)
- Monday 12<sup>th</sup> August 2013  
Brian Knight (Chair of the Participation Group for West Wirral Group Practice and Interim Chair of the Patient Forum for the Wirral Health Commissioning Consortium)
- Monday 23<sup>rd</sup> September 2013  
Mike Chantler (Head of Patient Experience and Involvement, Wirral University Teaching Hospital)  
Mark McKenna (Deputy Head of Patient Experience and Involvement, Wirral University Teaching Hospital)
- Wednesday 9<sup>th</sup> October 2013  
Phil Jennings (Chair, NHS Wirral Clinical Commissioning Group)  
Lorna Quigley (Head of Quality and Performance, NHS Wirral Clinical Commissioning Group)
- Wednesday 13<sup>th</sup> November 2013  
Fiona Johnstone (Head of Policy, Performance and Director of Public Health, Wirral Borough Council)
- Wednesday 20<sup>th</sup> November 2013  
David Allison (Chief Executive, Wirral University Teaching Hospital)  
Dr Evan Moore (Medical Director, Wirral University Teaching Hospital)  
Jill Galvani (Director of Nursing and Midwifery, Wirral University Teaching Hospital)  
Lucy Lavan (Associate Director of Governance, Wirral University Teaching Hospital)  
Mike Chantler (Head of Patient Experience, Wirral University Teaching Hospital)  
Jean Quinn (Non-Executive Director and Chair of the Quality & Safety Committee, Wirral University Teaching Hospital)
- Tuesday 3<sup>rd</sup> December 2013  
Helena Dennett (Compliance Manager for Cheshire West, Chester and Wirral, Care Quality Commission)  
Sally Derbyshire (Lead Inspector for WUTH, Care Quality Commission)

The Panel Members have also been supported on an advisory basis by Graham Hodgkinson (Director of Adult Social Services) and Chris Beyga (Head of Service, Adult Social Services).

### 5.2 **Written Evidence**

The Review was also informed by written evidence including committee reports, Government documents and briefing papers from officers.

## 6. THE NATIONAL CONTEXT

In June 2010, Robert Francis QC was asked by the then Secretary of State for Health Andrew Lansley to undertake a public inquiry into the failures of Mid Staffordshire NHS Foundation Trust. The terms of reference included:

- To examine the operation of the commissioning, supervisory and regulatory organisations and other agencies, including the culture and systems of those organisations in relation to their monitoring role at Mid Staffordshire NHS Foundation Trust between January 2005 and March 2009 and to examine why problems at the Trust were not identified sooner; and appropriate action taken.
- To identify the lessons as to how in the future the NHS and the bodies which regulate it can ensure that failing and potentially failing hospitals or their services are identified as soon as is practicable.

The Francis Inquiry followed a series of previous investigations and reports, including an investigation by the Healthcare Commission in 2009 and an independent inquiry also conducted by Robert Francis.

The final report of The Mid Staffordshire NHS Foundation Trust Public Inquiry was published on Wednesday 6 February 2013. The result of nearly three years' work, it runs to three volumes with almost 1800 pages and it has 290 recommendations. The report exposes the appalling suffering of patients at Stafford Hospital, many of whom died through neglect. The focus on meeting NHS targets and achieving financial balance took precedence over patient care. The Trust lost sight of its fundamental responsibility to provide safe care. The report describes the failings as a 'disaster' and 'one of the worst examples of bad quality service delivery imaginable'.

The Inquiry looked at the hospital itself and the roles of the main organisations with an oversight role including the Department of Health, the Strategic Health Authority, the PCT, national regulators, other national organisations, local patient and public involvement, and health scrutiny. The report is critical of multiple external healthcare organisations whose scrutiny failed to detect systemic and sustained failures which occurred over a long period of time and which had widespread and serious impact on patients. The report examines what information was known which might have been expected to give cause for concern or further enquiry. However, it concludes that the primary responsibility for the unacceptable standards of care lay with the Trust Board and professional staff.

The report recognises that what happened in Mid Staffordshire was a system failure, as well as a failure of the organisation itself. Rather than proposing a significant reorganisation of the system, the report concludes that a fundamental change in culture is required to prevent this system failure from happening again, and that many of the changes can be implemented within the current system. It stresses the importance of avoiding a blame culture, and proposes that the NHS adopts a learning culture aligned with the needs and care of patients.

The report also concludes that the Trust Board did not sufficiently listen to its patients and staff and failed to tackle a negative culture involving tolerance of poor standards and disengagement from managerial and leadership responsibilities. Performance management systems designed to check up on poor practice showed on many levels that Mid Staffordshire was a successful Trust, whilst in reality it was failing patients. Variations in performance were recorded and explained in ways that made it difficult to be clear what was happening to patients. Concerns about operational performance were overshadowed by apparent strategic successes. The Centre for Public Scrutiny has subsequently commented that:

"Accountability is not just about publishing data – this is important but should be linked to mechanisms that bring a reality check to make sure that patient's experiences are properly reflected. Robert Francis identified that it was difficult for anyone 'on the outside' to check what was happening in the hospital"

The implications of the Francis Report, specifically for health scrutiny, are discussed further in Section 7.3 of this report 'The Strengthening of health scrutiny in Wirral'.

Subsequent to the release of the Francis Report in February 2013, a series of other events have followed, each contributing to the national debate and influencing the provision of hospital care at a local level:

- The Department of Health published an interim response 'Patients First and Foremost' and during summer 2013 held a series of events in partnership with the CQC, NHS England and Health Education England about implementing the Francis recommendations. In the interim response, the Department indicated an expectation that local Francis Action Plans should be in place in health and care organisations across the country by the end of 2013.
- The CQC held its own series of consultation events about 'A New Start, changing the way the CQC regulates, inspects and monitors care'. In response to concerns relating to the inspection of hospitals and also to care homes, the CQC has appointed Chief Inspectors of Hospitals, Social Care and Primary Care.
- Sir Bruce Keogh was commissioned to review performance at 14 hospitals with Hospital Standardised Mortality Ratios (HSMR) similar to those at Mid Staffordshire. As a result some hospitals are receiving additional support to improve the quality of services.
- In July 2013 NHS England published its first Friends and Family Test results about whether patients would recommend the place they received treatment to their friends and family.
- In August 2013, Don Berwick published a review about improving the safety of patients.
- In October 2013, the Report into handling of complaints by NHS England by Ann Clwyd and Professor Tricia Hart was published.

In November 2013, the Government published a full response to the Francis Report, focusing on five key issues:

- Compassion and care
- Values and standards
- Openness and transparency
- Leadership
- Information

In total, the Government has accepted 281 out of 290 recommendations, including 57 in principle and 20 in part (meaning the recommendation has been accepted with some differences or new ideas relating to how it will be delivered). Progress against the report as a whole will now be reported to Parliament on an annual basis to ensure rapid progress against delivering the recommendations.

In its response, the Government highlighted the following actions:

- From April 2014, all hospitals will publish staffing levels on a ward-by-ward basis together with the percentage of shifts meeting safe staffing guidelines. This will be mandatory and will be done on a monthly basis. By the end of 2014 this will be done using models approved independently by NICE.
- Hospital boards will review evidence for their staffing numbers in public at least once every six months.
- A new national safety website will publish all the information relevant to safety in every hospital on a monthly basis.
- A new national patient safety programme across England will spread best practice and build safety skills across the country. NHS England is due to start the programme in April 2014.
- Five thousand patient safety fellows will be trained and appointed by NHS England within five years, to be champions, experts, leaders and motivators in patient safety. The fellows will range from frontline nurses to senior managers.
- Hospital trusts will be required to report quarterly on complaints data and lessons learned.

- All hospitals will be required to set out clearly how patients and their families can raise concerns and complain, with independent support available from their Healthwatch or alternative organisations.
- Experts will be asked to advise the Government on how to improve reporting of safety incidents.
- The Government will legislate to make it an offence to willfully neglect patients, so that organisations and staff, whether managers or clinicians, responsible for the very worst failures in care are held accountable.
- A new Fit and Proper Person's Test will be introduced to enable the Care Quality Commission to bar unsuitable senior managers who have failed in the past from taking up individual posts elsewhere in the system.
- A new Care Certificate to ensure that Healthcare Assistants and Social Care Support Workers have the fundamental training and skills needed to give good personal care to patients and service users.
- Every hospital patient should have the names of a responsible consultant and nurse above their bed. In addition, starting with over-75s from April 2014, there will be a named accountable clinician for out-of-hospital care for all vulnerable older people.



## 7. EVIDENCE AND RECOMMENDATIONS

### 7.1 Governance Arrangements

#### **What the Members have found....**

There are a number of organisations that have a role in the governance of health services:

#### NHS England Area Teams

There are 27 Area Teams across England, which form the top level of NHS commissioning. The Area Team of which Wirral is a part covers the geographical area of Cheshire, Warrington and Wirral. NHS England is accountable to the Secretary of State and independent of the Department of Health (DOH). The Area Teams have a range of functions including CCG development and assurance plus quality and safety. All Area Teams have direct commissioning responsibilities for GP services, dental services, pharmacy and certain aspects of optical Services, in addition to some specialist services, for example, renal services.

In relation to standards and quality of health services, NHS England has established Quality Surveillance Groups (QSGs) covering every locality. The role of QSGs is to identify possible problems and share information with key players and provide a proactive forum for collaboration, giving all partners:

- a shared view of risks to quality through sharing intelligence
- an early warning mechanism of risk about poor quality
- opportunities to coordinate actions to drive improvement,

Key participants include the Clinical Commissioning Group, Health providers (such as Wirral University Teaching Hospital and Cheshire and Wirral Partnership Trust), the Council's Department of Adult Social Services, Healthwatch and the Care Quality Commission.

#### Wirral Clinical Commissioning Group (CCG)

Wirral CCG formally took on their responsibilities from March 2013. The CCG is responsible for commissioning health services for the residents of Wirral. These include hospital-based health services and community services such as Community Nursing.

CCGs have to account to the patients and the population they serve. They are also formally accountable to NHS England through the Area Team. They require comprehensive and effective patient and public engagement strategies with systems and processes to assure the governing body that engagement is taking place throughout the organisation.

The CCG must play a full role on their local Health and Wellbeing Boards. They are expected to work in partnership with Local Authorities and (as members of the Health and Wellbeing Boards) have a role in encouraging health and social care commissioners with the aim of securing better integrated health and social care for their patients. They will have a responsibility to ensure that relevant health and care professionals are involved in the design of services and that patients and the public are actively involved in the commissioning arrangements.

CCGs are subject to scrutiny by three local bodies:

- The scrutiny function within local authorities (in Wirral this is through the Families & Wellbeing Policy & Performance Committee)
- Health and Wellbeing Boards (also situated in local authorities)
- Local HealthWatch organisations

The CCG clearly has a responsibility to ensure that high quality services are specified in contracts and that those services are delivered. During this Scrutiny Review, Panel Members were re-assured by the processes which the CCG have in place to monitor the delivery of good quality services. These processes include regular data monitoring, analysis of complaint data to establish trends, intelligence links with other partners, regular meetings with WUTH; all supplemented by the possibility of 'enter and view' visits to specific wards.

### Wirral Health and Wellbeing Board

The Health & Wellbeing Board, which is a statutory committee of Wirral Council, was created in shadow form in September 2012 in order to build relationships among the component partners, with the over-riding objective to promote health and wellbeing in Wirral. The Terms of Reference, based on the responsibilities established by the Health and Social Care Act 2012, require that the Board, although not responsible for the commissioning of services, provides oversight and coordination to:

- Produce a Joint Strategic Needs Assessment (JSNA)
- Develop a Health & Wellbeing Strategy which tackles health inequalities and promotes health and wellbeing
- Support and encourage integrated commissioning of services

Statutory members of the Board include:

- Elected Council members
- Director of Public Health
- Director of Adult Social Services
- Director of Children's Services
- Clinical Commissioning Group (CCG)
- Healthwatch

Other non-statutory organisations invited to be members in Wirral include the Chief Executive of:

- Wirral University Teaching Hospital (WUTH)
- Cheshire and Wirral Partnership Trust (CWP)
- Wirral Community Trust (WCT)
- Clatterbridge Cancer Centre (CCC)
- Voluntary and Community Action Wirral (VCAW)

It should be noted that the Health & Wellbeing Board does not have a role in performance monitoring individual organisations. This responsibility lies with those accountable for that, and where appropriate, through scrutiny.

### Department of Adult Social Services (DASS)

Local authorities must take steps to ensure DASS delivers the local authority's responsibilities for assessing, planning and commissioning adult social care and wellbeing services to meet the needs of all adults with social care needs in the authority's area. Local authorities must also ensure DASS has responsibility and authority for ensuring that the local authority maintains a clear organisational and operational focus on safeguarding vulnerable adults.

### Wirral Healthwatch

Wirral Healthwatch is an independent consumer champion, responsible for gathering and representing public views. Healthwatch must ensure that the views of people that use services are taken into account and influence the design and delivery of local services. The role includes:

- Serving on the Health and Wellbeing Board
- Providing a complaints advocacy service
- Undertaking 'enter and view' visits to service providers on an unannounced basis as necessary
- Reporting concerns to the Care Quality Commission

It is therefore essential that Healthwatch has strong relationships with partner organisations to ensure that it acts as an effective 'eyes and ears' of health and social care services. Employing a small number of staff, the resources of Healthwatch are supplemented by the inclusion of approximately 50 active volunteers. A skills register of Healthwatch volunteers is used to ensure that there are no significant skill gaps as many volunteers have different skills.

Healthwatch has a statutory right to undertake 'enter and view' visits of health service providers ranging from Wirral University Teaching Hospital to independent care homes. To date, approximately sixteen 'enter and view' visits have related to wards at Wirral University Hospital Trust. Any visit will usually be triggered by someone informing Healthwatch that there is an issue with a particular service provider. Research will be undertaken prior to any interviews or visits and an Action Plan will be produced following the visit. Although undertaken by lay people, the Healthwatch visits include people with the required skills and experience to gather appropriate evidence.

There is a confidence that Wirral Healthwatch is in a better position than Mid Staffordshire to identify any serious issues. That confidence is based on the good relations that exist between partners, which help Healthwatch to perform its role as a critical friend.

### The Care Quality Commission (CQC)

The Care Quality Commission (CQC) regulates all health and adult social care services in England, including those provided by the NHS, local authorities, private companies or voluntary organisations. The CQC's aim is to make sure better care is provided for everyone, whether that's in hospital, in care homes, in people's own homes or elsewhere. The CQC makes sure that essential standards of quality and safety are being met where care is provided. It has a wide range of enforcement powers to take action on behalf of service users if those services are judged to be unacceptably poor.

The CQC can be flexible about how and when to use its enforcement powers, such as fines and public warnings. It can apply specific conditions in response to serious risks. For example, it can demand that a hospital ward or service is closed until the provider meets safety requirements or is suspended. It can take a service off the register if absolutely necessary.

The CQC has recently reviewed its inspection processes. The aims of the new regime are to ensure that the inspections are more robust and in-depth, with a greater involvement of inspectors with clinical experience. It is also noteworthy that the new regime will place greater emphasis on feedback from staff and patients, with public listening events being held at the beginning of the inspection process. It is expected that the information gathered during these listening events will be used to influence the focus of the inspection.

In mid November, CQC undertook an annual inspection of WUTH, which is part of the unannounced inspection regime. Compared to previous inspections, the inspectors carrying out the most recent inspection spoke individually to more staff. The inspection focused particularly on the care for the elderly, including the dementia pathway. The inspectors have been in theatres and on the surgical wards. Some previous criticism of CQC has related to the low level of clinicians among the inspectors. It is noted that this recent inspection team included an ex-theatre sister. A WUTH director commented that the inspection "feels and looks different". In addition, the CQC has recently provided each hospital in England with a risk rating, in the range of 1 to 6. WUTH has been allocated a rating of 6, the top rate. Panel Members warmly welcome this excellent rating for WUTH.

### NHS providers (including Wirral University Teaching Hospital; Cheshire and Wirral Partnership Trust)

The local providers are primarily commissioned by the CCG. The formal management relationship between CCGs as commissioners and NHS Trusts is modeled on a contractual relationship, using nationally established standard contracts, which include required performance standards. It is the responsibility of the commissioners to ensure that the contract is delivered. Under a national scheme

known as Commissioning for Quality Improvement (CQIN), a small proportion of a trust's income (1.5 per cent in 2010/11) is contingent on it meeting a series of quality standards agreed locally.

NHS trusts are also regulated by the CQC. Trusts are legally required to be registered with the CQC in order to provide services. Registration requirements cover essential safety and quality requirements, and include a range of criteria such as proper use and maintenance of equipment; keeping accurate records; having in place an effective complaints system; and respecting patients and involving them in their care.

Since 2010, all providers of NHS secondary care have been required to produce Annual Quality Accounts: public reports of their performance on various locally selected quality measures, together with plans for improvement. These serve as a quality improvement tool to encourage trust boards to focus on the quality of care provided by their organisation and as a public accountability mechanism. The Local Authority, in the form of health scrutiny, is expected to formally comment upon the quality account of each provider.

### NHS Foundation Trusts

NHS Foundation Trust status is granted to high-performing trusts, and establishes trusts as not-for-profit public benefit corporations, which enjoy more freedoms in comparison with their non-foundation trust counterparts, including in relation to borrowing capital; selling assets; retaining surpluses; and developing their own incentive and reward packages for their staff.

The formal mechanisms through which foundation trusts are held to account comprise:

- a contractual relationship with CCGs
- regulatory relationships with Monitor (charged with authorising foundation trusts) and the CQC
- scrutiny by their governors, who are in turn electorally accountable to foundation trust members
- scrutiny by non-executive directors who sit on the board of directors
- scrutiny by Healthwatch and local overview and scrutiny committees, supported by the publication of quality accounts.

Foundation Trusts have their own regulator, Monitor, which is responsible for assessing eligibility for Foundation Trust status; granting foundation trust status and monitoring compliance with those terms. These cover provisions relating to the trust's governance arrangements, finances, and provision of agreed mandatory services, education and training. Where a Foundation Trust is found to be in significant breach of the terms of its authorisation, Monitor has powers to remove directors and governors and appoint replacements, close services and, subject to consultation, to dissolve the trust. Monitor is accountable directly to parliament rather than to the government. Foundation Trusts must also be registered with the CQC against the same terms as other NHS trusts. The CQC and Monitor are expected to cooperate in carrying out their duties.

### Wirral University Teaching Hospital (WUTH) - Governance arrangements

WUTH gained Foundation Trust status in July 2007, which set up a Public Benefit Corporation. Governance arrangements are set out in the Trust's constitution.

The Trust has four levels of governance:

1. Members – There are 9500 community members and 5500 staff members. There is regular communication with the members. Members' meetings with the Council of Governors are held quarterly. There were approximately 120 members present at the last meeting. The membership of the Trust elects some Governors.
2. Council of Governors – The Council of Governors comprises of:
  - Public governors. A majority of the Council is democratically elected from the public members.
  - Staff governors are elected by staff members. All permanent staff are members of the Trust.
  - Stakeholder governors are appointed by WUTH's major partners, including Wirral Council.

The Council of Governors represents the interests of both public and staff members and of partnership organisations. Governors act as a conduit between the Trust and its members, and also engage with the wider community acting as the eyes and ears of Wirral residents with regard to their experiences of care in WUTH. The Council meets four times a year and is led and directed by the Chairman of the Trust. Members of the Board of Directors attend the quarterly Council of Governors meetings, which are also open to the public.

The Council of Governors is responsible for appointing or removing the Chair and other Non-Executive Directors (NEDs); holding NEDs to account for the performance of the Board; representing the interests of members and the public; and assisting in developing the Forward Plan (which must be submitted to Monitor for approval).

3. Non-Executive Directors (NEDs) - There are currently 7 NEDs, who are appointed by the Council of Governors. The NEDs are appointed for 3 year terms, with a maximum term of 6 years in line with Monitor's Code of Conduct regarding the independence of NEDs. NEDs are responsible for agreeing the pay, remuneration and appointments of the Executive Directors.  
The NEDs are appointed by the Governors following a thorough process, which takes account of the required skills which would be most useful to the Board.
4. Executive Directors – There are 7 Executive Directors, of which there are three statutory positions (Finance, Medical and Nursing).

The Board of Directors comprises the NEDs and the Executive Directors. The Board is accountable to the public via the Governors and now holds meetings in public. The role of the Board is to set the strategic direction of the Trust; ensuring safe and effective care that is responsive to the needs of patients; and providing effective governance and leadership. The Board discharges those duties through three key Committees:

- Audit Committee (A NED Committee which scrutinises systems of internal control relating to financial and clinical governance)
- Quality and Safety Committee (Led by a NED Chair with NED, Executive and Governor members)
- Finance, Performance & Business Development Committee (Led by a NED Chair with NED and Exec members)

In addition, all healthcare professionals such as Doctors, Nurses, Midwives & Allied Healthcare Professionals (for example, physiotherapists) are all regulated by their professional bodies. The first line of regulation is 'self' through their professional Code, then line management and on to disciplinary measures if necessary.

Eighteen months ago, Monitor raised issues with WUTH regarding 18 week waiting times and medicines management, which both had implications for governance. Over a 10 month period, governance arrangements were evaluated, being reviewed again in February 2013, by which time Monitor assessed that the Trust was 'green' for governance. The new governance arrangements included a greater role for staff engagement, including the introduction of 'Listening into action' events.

## **What the Members suggest for future developments....**

It is clear that no single body has the sole responsibility for monitoring the delivery of high quality health care. A number of organisations, including health scrutiny, all have a part to play. The process will work most effectively when robust relationships between the various partners are in place. One of the issues highlighted by Robert Francis was that, although data was available in Mid Staffordshire no one pulled together the 'big picture'. In order to do so, it is necessary to pool information and intelligence across organisations. There is also a need to foster an open relationship with those organisations who are being scrutinised.

### **Recommendation 1 – Relationship with health partners**

In order to fulfill their role of being a constructive critical friend to their local health partners, members of the Families and Wellbeing Policy & Performance Committee will seek to further develop a positive, open and honest working relationship with those partners.

It is recognised that WUTH is very keen to develop stronger links with GPs. Indeed, in May 2013, 46 GPs attended an event aimed at developing ideas for the Trust and GPs to work together better. It is planned that these will be regular 6 monthly events, with the next session previewing winter planning.

Members have heard evidence that the feedback from GPs to WUTH regarding the quality of service received by their patients is limited. It is understood that such feedback is not encouraged by there not being an integrated IT system for GPs and WUTH, which also results in many referral letters being received by WUTH in a hand-written format. The amount of information provided is variable – some GPs' letters have lots of information; some are very limited. The Members encourage Wirral CCG to investigate ways in which IT systems can be better integrated.

### **Recommendation 2 – Communication between Wirral University Teaching Hospital and GPs**

Wirral Clinical Commissioning Group is encouraged to further develop arrangements to enable GPs and Wirral University Teaching Hospital to communicate more effectively with particular reference to patient referral letters and subsequently patient feedback.

It has become apparent to the Members of the need to further promote the role of Healthwatch to ensure that the public are aware of its function. The introduction of the Healthwatch surgery at Moreton One Stop Shop is welcomed and it is hoped that it may be possible to extend this initiative to other locations. Although it is essential to retain its independence, in order to further promote the existence of Healthwatch, it is suggested that, in the future, a presence on the Arrowe Park site would help to enhance its role.

### **Recommendation 3 – Further raising the profile of Healthwatch**

Healthwatch is expected to fulfill a key role in making sure that the public's voice on health and social care issues is heard whilst retaining its independence. Opportunities should be taken to further raise the public profile of Wirral Healthwatch. A presence on the Arrowe Park site could be considered as an effective step towards this goal.



## 7.2 Assessment of care standards at Wirral University Teaching Hospital

### What the Members have found....

#### Overview

During the course of this Scrutiny Review, concerns of an individual nature have been raised with the Members. However, there is no evidence of major systematic issues regarding the quality of service. As with any organisation, there is always scope for improvement. The evidence suggests that WUTH is performing to good standards; albeit with some examples of inferior patient experience. Overall, Members were impressed by the evidence relating to clinical standards and the progress being made. A key indicator of this improvement is the recent CQC risk rating in which WUTH has been allocated a rating of 6 (the top rating in a range of 1 to 6).

The result of the unannounced CQC inspection, carried out in November 2013, has been recently announced. The summary of the CQC inspection report provides the following commentary:

“We spoke with patients, relatives and staff at this inspection. We visited three wards and the theatre department. Most of the patients and relatives spoke positively about their experience and care they received. They provided comments such as: “I’m treated very well. Staff treat me with love and kindness. We’re on friendly names. There is a close bond between myself and staff. They give me a choice of meals. I’m always asked what I’d like to eat. They do ask me if I like the food”, “I think she’s getting the care and support she needs here”. We found that when patients were admitted their needs were assessed and a plan of care was put into place. We found that the care plans were standardised and sometimes inflexible to patients needs when variances were identified. We found that patients who had a diagnosis of dementia were supported and cared for with a comprehensive assessment and care plan that met their needs. We found that discharge planning was generally effective. We looked at staffing levels and support for staff. We found that staff on one ward experienced stress due to staffing levels. We were satisfied measures had been implemented to ensure suitable staffing and support on this ward. We found elsewhere that generally staff were appraised, trained and supported to undertake their roles effectively. The trust had a robust governance framework in place that included systems and processes in place for monitoring the quality of services and risk management”.

However, Members are concerned that on 22<sup>nd</sup> November 2013, Monitor announced that it has “launched an investigation into whether poor financial performance is indicative of Wirral University Teaching Hospital NHS Foundation Trust potentially breaching its licence to provide healthcare services. The Trust will be asked to explain to Monitor why its costs this year have been higher than expected, and why its income has been lower than forecast”. In particular, financial performance and planning is being reviewed.

#### WUTH’s response to the Francis report

WUTH has undertaken an extremely thorough response to the Francis Report; this being a major priority for the Trust in recent months. As part of the response process, all staff areas were consulted and asked to make suggestions for improvements, which resulted in a workshop with representatives from each department. The aim was to ensure Trust-wide engagement in the process. Regarding openness and transparency, the Trust supports the need to recognise and report incidents and the provision of strong patient-centred leadership. The priorities identified for WUTH’s Action Plan for the response to Francis are:

- Put quality first
- Hear the patient voice
- Value our staff
- Be open / implement the duty of candour
- Deliver sustainable services
- Improve communication

### Governance arrangements and management reporting

The key governance arrangements for WUTH are detailed in Section 7.1 above. The CLIPPE report (Complaint, Litigation, Incident, Patient Advice and Liaison Service and Patient Experience) is a key management tool for reporting performance and is produced quarterly. Patient experience data is collated from:

- The in-house 'Learning with patients' Questionnaire, of which approximately 10,000 forms are completed each year)
- Friends & Family Test
- PALs (Patient Advice and Liaison Service)

The data is analysed on a monthly basis to monitor trends in order to enable quicker intervention. The CLIPPE report identifies new concerns and monitors old concerns. This report is reported to the Board of Directors, the Clinical Governance Group and to the Quality & Safety Committee.

### Quality and Safety data

A Quality Improvement Strategy has recently been introduced for 2013-16, with the three strategic aims being:

- Safer care
- More effective care
- Better patient experience

The Strategy builds on the priorities set within the Quality Account, which is produced following consultation with the Clinical Commissioning Group, Healthwatch and the Local Authority (health scrutiny).

Safety data provides evidence of the recorded incidences of:

- Pressure ulcers
- Harm from falls
- VTE (venous thromboembolism)
- Readmissions within 30 days of discharge
- Allergic to medication given. (This relates to incidences of giving patients medication to which they have allergies and staff have already been informed).

Data is reported to the Clinical Governance Group, who chooses to either accept the data or request Action Plans. Members were informed that staff are strongly encouraged to report incidents.

The mortality rate is regarded as a fundamental measure of quality. There are 2 main ways for reporting mortality rates: HSMR (Hospital Standardised Mortality Ratios) and SHMI (Summary Hospital-level Mortality Indicator). On both indicators, the rates for WUTH are improving and are within expected ranges.

WUTH is also developing an ethos whereby the delivery of a 24/7 service for unplanned care must be as good on a Saturday or Sunday as on a Tuesday or Wednesday. This initiative has resulted in a significant financial investment, with the main driver being quality.



## Standards of nursing care

The Chief Nursing officer of NHS England refers to the 6 c's of nursing (namely: care, compassion, competence, communication, courage and commitment) in the Strategy for Nursing 'Compassion in Practice'. During 2013, the Director of Nursing at WUTH has been working with nurses, midwives and health care support workers to determine what that means in practice. A WUTH document has been developed entitled 'Proud to Care' which sets out the ethos and care standards which staff are expected to deliver. As an example, the care standards include "patients will be helped to have a bath, shower or assisted wash at least daily - when we offer an assisted wash the patient will be able to soak their feet".

The document is due to be launched to staff in December 2013. It is also planned that an equivalent document will be available in the bedside folder for patients. It is envisaged that this document will strengthen the patient experience as it will form part of the nursing audit and it will be incorporated into staff performance reviews. Members warmly welcome this initiative as it is recognised that "the basics make an enormous difference".

## Patient experience:

The patient experience data is accessed from a variety of sources:

- Internal Patients questionnaire ('Learning with Patients') – to which there are approximately 10,000 responses per year. Approximately 40% of the returned forms include comments regarding the quality of service. These comments are coded and provide valuable data by which to identify trends.
- National surveys
- Friends and Family Test - From April 2013 the Friends and Family Test (FFT) has been introduced across the NHS in England and this will provide a nationally benchmarked indicator for the public to compare hospitals. The test uses the net promoter methodology. In the first six months, the Friends and Family Test has proved challenging to WUTH, although the score did improve in October. The Trust recognises that more work needs to be done to improve this outcome.
- Compliments, Concerns and Complaints
- Patient stories – based on an individual's experience during their stay in hospital.
- 15 Step Walkarounds – A new NHS initiative last year, whereby the quality of care within 15 steps of walking onto a ward is monitored. Board members and governors go out on to the wards on a monthly basis.
- Healthwatch visits - The relationship with Healthwatch (and formerly with LINK) has been important to the Trust. Healthwatch has the authority to undertake 'Enter & View' visits. Healthwatch / LINK have undertaken 16 unannounced visits, some of which have been invited by WUTH. The Trust and Healthwatch have worked jointly on a methodology for the visits, which has resulted in an inspection tool. This tool enables lay members of Healthwatch to undertake inspections, although their independence is retained. Although still developing their systems, Healthwatch do informally report complaints and concerns to the Head of Patient Experience at WUTH and formally through the Patient and Family Experience Group which reports to the Quality and Safety Committee.
- Public events, for example, with the Older People's Parliament

The Trust fully appreciates that it has more to do to ensure that more patients feel that they have had a positive experience. In order to improve patient experience, among the challenges identified by WUTH are the following:

- 40% of patients report delays when in hospital, the highest of which is Take Home Medication
- Unplanned admissions- issues relating to emergency admissions department
- Patients feeling involved in the planning of their discharge
- Getting the right information at the right time to help patients feel involved in decisions about their care

## Complaints handling

During the Review, a number of witnesses commented that more should be done to deal effectively with problems and concerns to prevent them escalating to become official complaints. It was, therefore, reassuring to be told by the Directors at WUTH that there is now a drive to ensure a higher level of local resolution of issues while patients are still in the hospital (that is, prior to discharge).

The Trust deals with approximately 1000 patients each day, which give rise to approximately 10 complaints per week. The details of every complaint are reviewed by the Chief Executive and the Director of Nursing. There were 509 complaints raised last year with an additional 1000 informal concerns. There is a grey area between a concern and a complaint, which can partly explain the discrepancy in the rate of complaints received by different Trusts.

A new complaints policy has been recently ratified and there is evidence that the complaints process is fit for purpose, as Internal Audit has recently audited the complaints process. Leaflets should be available from matrons on the wards, and from the Patient Experience Team as well as information on the Trust's website.

## Staffing issues

During the course of the review, a number of witnesses raised concerns regarding the levels of nurse staffing on some wards and the ratios between qualified and unqualified nurses. The Trust appears to recognise the pressures and has put actions in place to assess the staffing levels for all wards. As there is no set minimum staffing level, the assessment is based on experience and data provided by the Royal College of Nursing (RCN). The target is for a ratio of 8 patients per trained registered nurse during daytime with an equivalent cover of 10:1 for night cover, with variations depending on the acuity (how poorly the patients are) and their dependency (how much nursing care the patients need). A paper has been reported to the Finance & Performance Committee to demonstrate the rationale for the staffing levels.

## Patients with dementia

It is recognised that WUTH demonstrably place a high priority on staff training for the care of patients with dementia. During the Scrutiny Review, members heard of varying experiences depending upon the ward. There were reports of good experiences, particularly reflected from patients on elderly wards (DME), where the newly introduced reminiscence pods have proved to be very positive for patients with dementia. However, it was also noted during the Review, the environments in A&E and MAU (Medical Assessment Unit) had been highlighted as sources of poor experience for patients with dementia. The Directors of WUTH have reassured the Panel Members that those issues are being addressed:

- In the refurbished A&E, new bays will be provided particularly for patients with dementia. These bays will be protected from the business of the department.
- Intentional rounding, known as patient-focused rounding at WUTH, is being introduced as part of the patient-centred approach. This will ensure that all patients will be checked on a minimum of a two hourly basis to ensure that they are comfortable and pain free.
- Working with health and social care partners to, wherever possible, avoid hospital admission by providing alternative forms of care in different settings.

## Priorities in WUTH's Quality Accounts 2012/13

The Quality Accounts for 2012/13 set out a series of priorities (and targets) for the forthcoming year. The current targets and progress, as at the end of Quarter 2, are set out below:

## Patient Experience Priorities

### a. **Improve handling of complaints**

The target for 2013/14 is:

- 80% of complaints responded to within the timescale agreed with the complainant.

Progress - As at the end of Quarter 2, the actual figure is 63%. As a result, complaints management is subject to weekly performance monitoring and monthly monitoring by the Executive Director team.

### b. **The National Friends and Family Test**

The targets for 2013/14 are:

- To implement the Friends and Family Test for Acute Inpatients and patients attending Emergency Department Minors (from April 2013) and users of Maternity Services (from October 2013)

Progress – The Friends and Family Test is now live in all inpatient areas as well as for patients using the Emergency Department Minors. Although patients in Maternity Services were able to complete the Friends and Family Test from October 2013, no data has yet been released. This is due from January 2014.

- To ensure that response rates for the FFT are 15% by the end of Quarter 1 rising to 20% by the end of Quarter 4

Progress - The overall response rate for Quarter 2 was 18.3% (against a target of 15%).

- To improve the score for staff stating that they would recommend the hospital to family and friends to 65% from 61%.

Progress – No data on staff was available. However, data returns from patients indicate that further work is required by WUTH to raise the net promoter score for both inpatients and Accident & Emergency admissions. This is highlighted by the following table which compares the net promoter score for WUTH with both the Area Team (hospitals in Cheshire, Warrington and Wirral) and in England. As can be seen, although the scores for WUTH have generally improved, the Accident & Emergency data remains a challenge.

	Net promoter Score		
	Wirral University Hospital Trust	Cheshire, Warrington & Wirral Area Team	England
July			
Inpatient FFT Score	52	73	70
A&E FFT Score	20	47	54
Combined	33		63
August			
Inpatient FFT Score	66	75	71
A&E FFT Score	23	46	56
Combined	40		64
September			
Inpatient FFT Score	59	74	71
A&E FFT Score	16	45	52
Combined	34		62
October			
Inpatient FFT Score	68	78	71
A&E FFT Score	46	50	55
Combined	55		64
November			
Inpatient FFT Score	71	76	72
A&E FFT Score	34	48	56
Combined	49		64

## Safety Priorities

### c. **Minimise unnecessary in-hospital bed moves**

*The target for 2013/14 is:*

- *No more than four bed moves unless it is clinically appropriate.*

Progress – Initiatives are in place to improve patient flow, with the aim of ensuring that beds are more readily available in specialist areas. Activity is also taking place to avoid unnecessary admissions and support earlier discharge.

### d. **Reduce the hospital standardised mortality rate (HSMR)** (the HSMR is a calculation that compares the observed deaths with those that could be expected, based on deaths in similar patients across similar hospitals).

*The target for 2013/14 is:*

- 10% from the baseline of 2012/13

Progress – WUTH reports that good progress is being made with reducing HSMR and rates are within expected ranges.

## Clinical Effectiveness Priority

### e. **Achieve goals set out in Safety Express Programme**

*The targets for 2013/14 are:*

- *50% reduction in serious harm and death from preventable falls in the hospital on 2012/13 figures*

Progress – The Trust has achieved an 83% reduction in all falls with any harm since particular focus was placed on reducing harm from falls in April 2012. However, 7 falls resulting in serious injury have been reported in the first half of 2013/14. All falls causing serious harm are analysed and designated as ‘avoidable’ or ‘unavoidable’.

- *50% overall reduction in prevalence of new pressure ulcers developed in the hospital (grades 2-4) with an 80% reduction in new grade 3 and 4 pressure ulcers based on 2012/13 figures.*

Progress – Increased effort is being made to ensure that these targets are achievable.

- *50% reduction in preventable venous-embolic events based on 2012/13 figures.*

Progress – WUTH reports that the annual target is achievable and that the Trust is on track to do so.

- *A 50% reduction in unnecessary urinary catheterisation whilst maintaining the 50% reduction in urinary tract infections in patients with in-dwelling catheters based on the 2012/13 prevalence study.*

Progress – The Trust is on plan to meet this target.

WUTH are planning to publish data on falls, pressure ulcers, complaints and Friends and Family Test results on the Trust website from February 2014.

## What the Members suggest for future developments....

The Panel Members warmly welcome the proposal to incorporate the 6c's of nursing into the 'Proud to Care' initiative. However, Members also suggest that, in order to ensure that the scheme has a direct impact on patient experience, a mechanism is implemented to ensure that the desired impact is measured and realised.

### **Recommendation 4 – 'Proud to Care'**

The launch of the 'Proud to Care' document is very warmly welcomed. The Chief Executive at Wirral University Teaching Hospital is requested to develop a mechanism for analysing the impact of 'Proud to Care' on patient experience and provide update reports to the Families and Wellbeing Policy & Performance Committee.

It is noted that one of the Government responses to the Francis Report has been the announcement that, from April 2014, all hospitals will be expected to publish staffing levels on a ward-by-ward basis together with the percentage of shifts meeting safe staffing guidelines. This will be mandatory and will be done on a monthly basis. It is also noted that the Government has also announced that by the end of 2014 this will be done using models approved independently by NICE. In order to be as open and clear as possible with patients and relatives, the Members suggest the publication of such data on wards should be done so that it is easily understood and accessible to the public.

#### **Recommendation 5 – Staffing levels on wards**

The Director of Nursing and Midwifery at Wirral University Teaching Hospital is requested to ensure that the proposed information regarding staffing levels on wards is easily understood and accessible to the public.

One of the challenges recognised by WUTH relates to the level of unplanned admissions. There is currently little evidence that unplanned admissions are reducing. This is a challenge for the whole health and social care sector. The recently adopted 'Pull Pilot' is a collaborative initiative supported by Wirral University Teaching Hospital (WUTH), The Community Trust, the Clinical Commissioning Group (CCG) and the Department of Adult Social Services (DASS). This pilot was established following concerns that often individuals would present at Accident & Emergency with a combination of problems (health and social care) but a lack of quick response and failure to utilise community based services can lead to admission into an inpatient bed. This is neither good for the individual and leads to significant costs and a potential disruption to elective health care provision. The pilot consists of practitioners from a variety of disciplines including medical staff seeking better individual solutions. Early indications suggest positive outcomes in preventing hospital admissions for patients who can be better cared for elsewhere.

#### **Recommendation 6 – Unplanned admissions**

Wirral Clinical Commissioning Group is requested to provide regular reports to the Families and Wellbeing Policy & Performance Committee regarding actions being put in place and progress being made towards reducing unplanned admissions. It is expected that the on-going work with partners to further integrate social care and health provision will form a key component.

During this Scrutiny Review, the Members have heard anecdotal evidence relating to patients and staff being reluctant to report incidents for fear of retribution. Equally, the members have been impressed by the clear indication by management that staff are already encouraged to report incidents and by the actions already underway to change the culture of the organisation as part of the response to the Francis Report. This, of course, is in line with the NHS as a whole. It is recognised that it is necessary for the culture within the NHS to change in order to give patients greater confidence to raise complaints / concerns. Members wish to see this process continue.

#### **Recommendation 7 – Cultural change**

The Chief Executive of Wirral University Teaching Hospital is encouraged to further develop the cultural change that is underway to order to further encourage staff and patients to provide feedback to hospital management.

### 7.3 The strengthening of health scrutiny in Wirral

#### What the Members have found....

A number of recommendations in the Francis report made direct reference to overview and scrutiny committees. The Francis Report quoted Overview and Scrutiny of Health – Guidance (July 2003) to advise that:

“A constructive approach based on mutual understanding between the committee, the local authority executive function and local NHS bodies will be a prerequisite for success. Scrutiny is sometimes challenging and will sometimes be uncomfortable for the organisation being scrutinised but if the process is aggressive, or relies on opinion rather than evidence, it is unlikely to lead to positive or sustainable improvement. Likewise, health bodies will need to respond honestly to questioning and provide explanations if they are unable to implement overview and scrutiny committee recommendations.

The power to scrutinise the NHS needs to be applied both robustly and responsibly. Scrutiny should be probing and incisive, focusing on its primary aim of improving services for members of local communities. Asking the obvious question can be very revealing, but committees must also recognise that some of the problems facing the NHS have no simple or universally popular solution”.

Subsequent to the publication of the Francis Report, the Centre for Public Scrutiny has issued a paper which reflects the following:

Scrutiny by local councillors is an important part of the framework of health service accountability, but their role is different from the Care Quality Commission (CQC) or local Healthwatch. We urge councils and the NHS to embrace the value we know scrutiny can provide and support and resource council scrutiny well. Everyone with a role to hold the NHS to account needs to work together to make sure they combine their powers and the information they gather so that stronger lines of accountability are developed for strategic direction and operational performance”.

It is with reference to this challenge, that Panel Members have used the opportunity of this Review to reflect on how best to take forward Health Scrutiny in Wirral. Health scrutiny is currently undertaken in Wirral as part of the remit of the Families and Wellbeing Policy & Performance Committee. The Francis recommendations directly relevant to overview and scrutiny committees were:

**Recommendation 43:** Those charged with oversight and regulatory roles in healthcare should monitor media reports about the organisations for which they have responsibility.

**Recommendation 47:** The Care Quality Commission should expand its work with overview and scrutiny committees and foundation trust governors as a valuable information resource. For example, it should further develop its current ‘sounding board events’.

**Recommendation 119:** Overview and scrutiny committees and Local Healthwatch should have access to detailed information about complaints, although respect needs to be paid in this instance to the requirement of patient confidentiality.

**Recommendation 147:** Guidance should be given to promote the coordination and cooperation between Local Healthwatch, Health and Wellbeing Boards, and local government scrutiny committees.

**Recommendation 149:** Scrutiny committees should be provided with appropriate support to enable them to carry out their scrutiny role, including easily accessible guidance and benchmarks.

**Recommendation 150:** Scrutiny committees should have powers to inspect providers, rather than relying on local patient involvement structures to carry out this role, or should actively work with those structures to trigger and follow up inspections where appropriate, rather than receiving reports without comment or suggestions for action.



**Recommendation 246:** Department of Health/the NHS Commissioning Board/regulators should ensure that provider organisations publish in their annual quality accounts information in a common form to enable comparisons to be made between organisations, to include a minimum of prescribed information about their compliance with fundamental and other standards, their proposals for the rectification of any non-compliance and statistics on mortality and other outcomes. Quality accounts should be required to contain the observations of commissioners, overview and scrutiny committees, and Local Healthwatch.

## **What the Members suggest for future developments....**

### Scrutinising the performance of health providers

The Healthy Accountability Forum has been developed by the Centre for Public Scrutiny to become a national voice for health scrutiny. The Forum has highlighted Warwickshire Health Overview and Scrutiny Committee (HOSC) as an example of good practice for the processes employed to engage with their health providers and respond to the Quality Accounts process. There is an expectation that the committee responsible for health scrutiny will comment upon the Quality Accounts as they are prepared by local health provider organisations. Recommendation 246 of the Francis report includes “Quality accounts should be required to contain the observations of commissioners, overview and scrutiny committees, and Local Healthwatch”.

Warwickshire HOSC made the decision to invest in engaging in the Quality Accounts process to inform other work and develop their relationship with five NHS Trusts including the ambulance trust. For Warwickshire, the HOSC involvement had previously been very last minute and unable to add value for either side. Warwickshire took note of the Francis recommendations, which placed a high importance on Quality Accounts and also of Department of Health guidance which suggests that stakeholder engagement in the development of a Quality Account should be throughout the whole process. Therefore, Warwickshire made the decision to devote resources to Task and Finish groups to undertake this work. The outcome was that the Trusts acknowledged that Quality Accounts are public-facing, not exclusively for clinicians; and the HOSC found an opportunity to influence future priorities, not simply those in the Quality Account.

Panel Members appreciate that, in order to provide meaningful scrutiny of the services of health providers and input in to the Quality Account process, a positive outcome for all parties is more likely to be achieved by further developing a constructive and open relationship. Therefore, it is proposed that the Families and Wellbeing Policy & Performance Committee appoint a Panel of Members to undertake this detailed work on an ongoing basis. The Panel will provide update reports to the Committee and will identify the significant issues. It is anticipated that, initially, the Panel will open a dialogue with the health partners to determine the data which the partners will provide on a quarterly basis with the aim being that the process is not burdensome to the providers yet enables the Panel to act as a constructive, critical friend. However, it is important that this proposed Panel is able to add value by focusing on improvement work and does not become a bureaucratic process duplicating effort elsewhere. It is important to note that although the key health partners attend the Policy & Performance Committee meetings, they must also be held to account for the services that they deliver. Scrutiny needs to do that by being searching, constructive and non-combative.

### **Recommendation 8 – Establishment of the Health Performance Monitoring Panel**

In order to fulfill health scrutiny’s role to hold providers to account, the Families and Wellbeing Policy & Performance Committee will establish a standing member’s panel to monitor the performance of health providers. It is suggested that the Panel will be known as the Health Performance Monitoring Panel and will be established in readiness to review the Quality Accounts produced by health partners in spring 2014.

**Recommendation 9 – Data requirements of the Health Performance Monitoring Panel**

The Health Performance Monitoring Panel will agree appropriate monitoring data with each of the health partners. The data will be reported on a quarterly basis and may include data such as:

- Quarterly update of the Quality Account
- CLIPPE (Complaint, Litigation, Incident, Patient Advice and Liaison Service and Patient Experience) Report
- Complaints data
- Lessons learned and improvements made as a result of complaints
- Outcomes of Friends and Family Test
- Data relating to staffing, including levels and turnover

**Recommendation 10 – The Local Authority’s role in the Quality Accounts process**

The Families and Wellbeing Policy & Performance Committee will establish a mechanism to ensure that the Local Authority fulfills the requirement to provide comments regarding the Quality Accounts of health service providers.

Health scrutiny and other partners

One of the key messages of the Francis Report was that partners were engaged in the process and data was reported in Mid Staffs yet no one had a view of the complete picture and joined up the many signals that all was not well. The Panel Members therefore agree that it is imperative that constructive working relationships are further developed with scrutiny’s key partners at a local level. Indeed, the Centre for Public Scrutiny, in October 2012, issued a briefing paper ‘Local Healthwatch, health and wellbeing boards and health scrutiny: Roles, relationships and adding value’. The paper identifies scenarios to help the three bodies to develop positive relationships. It is proposed that a protocol for effective working is developed between Healthwatch and health scrutiny.

**Recommendation 11 – Protocol for effective working between Healthwatch and health scrutiny**

The Head of Policy & Performance / Director of Public Health is requested to develop a protocol between Healthwatch and health scrutiny in order to encourage collaborative and effective joint working. The protocol will be in place by the commencement of the 2014/15 municipal year.

The Health and Wellbeing Board was established in its permanent form as of April 2013. As the Board further develops its role it is sensible to ensure that the Board and health scrutiny work collaboratively and avoid duplication, while ensuring effective sharing of information. Useful points to consider might include:

- Health scrutiny ensuring that the strategies developed by the Health & Wellbeing Board are effectively scrutinised.
- The Health & Wellbeing Board receiving copies of the reports from all relevant scrutiny reviews.
- Members of the Policy & Performance Committee to receive minutes of the meetings of the Health & Wellbeing Board and request additional information if necessary.

**Recommendation 12 – Framework for effective working between the Health & Wellbeing Board and health scrutiny**

The Head of Policy & Performance / Director of Public Health is requested to develop a framework to encourage a constructive working relationship between Health & Wellbeing Board and health scrutiny, ensuring that strategies reflect priorities and deliver outcomes.



Recommendation 47 of the Francis Report states that “The Care Quality Commission should expand its work with overview and scrutiny committees and foundation trust governors as a valuable information resource. For example, it should further develop its current ‘sounding board events’. The Members of this Scrutiny Review Panel welcome the revised approach to the inspection framework being introduced by the Care Quality Commission, in particular the prospect for greater input from service users as evidenced by the proposed listening events and public feedback sessions. A future relationship between the Care Quality Commission and health scrutiny based on open dialogue is therefore welcomed.

**Recommendation 13 – The relationship between the Care Quality Commission (CQC) and health scrutiny**

The Head of Policy & Performance / Director of Public Health is requested to develop a mechanism to enable members of the Families and Wellbeing Policy & Performance Committee to establish an effective working relationship with the Care Quality Commission (CQC).

As described earlier (in Section 7.1 – Governance Arrangements), the Area Team has a key system-wide governance role across the region for all health providers. In order to fulfill this role, NHS England has established Quality Surveillance Groups (QSGs) covering every locality. The role of QSGs is to identify possible problems and share information with key partners. Through bringing partners together on a monthly basis, an arena has been created to share intelligence, challenge performance and provide an early warning mechanism to identify potential problems relating to quality in service provision. The Panel Members consider it to be beneficial for a dialogue to be created between local health scrutiny and the Quality Surveillance Group to ensure that scrutiny members are part of that information flow.

**Recommendation 14 – Information flow between the Quality Surveillance Group and health scrutiny in Wirral**

In order to enhance the current early warning mechanisms, the Health Performance Monitoring Panel is requested to establish an effective flow of information with the Quality Surveillance Group, led by the Area Team.

The role of members

This Scrutiny Review has given members the opportunity to reflect on the role of health scrutiny and of individual members within that process. While only a relatively small minority of councillors are members of Wirral’s health scrutiny mechanism (the Families and Wellbeing Policy & Performance Committee), all councillors are representatives of their communities and are in an ideal position to reflect the views of constituents. It is, therefore, proposed that a procedure should be developed to enable all of Wirral’s elected representatives (councillors and MPs) to reflect relevant concerns and experiences to the Health Performance Monitoring Panel. It is essential that this process is not seen as a complaints service but as an information source which will enable members of the Health Performance Monitoring Panel to, along with information from other partners, identify trends and areas for concern. It is also noteworthy that Recommendation 151 of the Francis Report states that “MPs are advised to consider adopting some simple system for identifying trends in the complaints and information they received from constituents. They should also consider whether individual complaints imply concerns of wider significance than the impact on one individual patient”.

**Recommendation 15 – The role for elected members in reflecting the views of their communities**

The Head of Policy & Performance / Director of Public Health be requested to establish a mechanism to enable elected representatives (MPs and councillors), as a spokesperson of their communities, to reflect concerns and experiences to the Health Performance Monitoring Panel. The framework should be in place by the commencement of the 2014/15 municipal year.

Effective health scrutiny relies on the knowledge and expertise of those Members directly involved. The framework within which health and social care services are provided can appear complicated to the lay person. The Francis Report points out that “The combination of responsibility for scrutiny of performance and for representation of the public view on strategic health issues is a demanding one for lay councillors with limited or no expert support”. In the future, it may be necessary to seek independent clinical or operational opinions from clinical reference groups or expert help with interpreting statistics. The Panel Members therefore suggest that greater continuity among the membership of the Families and Wellbeing Policy & Performance Committee would be beneficial in order to enable members to develop their knowledge base. Likewise, the development of specific health scrutiny training for members is also proposed. Some briefing sessions, provided by health partners, have already commenced. These are welcomed and it is hoped will be incorporated into a more general training programme available to members responsible for health scrutiny.

**Recommendation 16 – Continuity of membership of health scrutiny**

In order to enhance the level of expertise and skills regarding health scrutiny among the members, the leadership of the political groups is encouraged to consider providing greater continuity of membership on the Families and Wellbeing Policy & Performance Committee.

**Recommendation 17 – Health scrutiny training**

The Head of Policy & Performance / Director of Public Health is requested to ensure that members feel that they have adequate skills and training to undertake their health scrutiny role effectively.

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***This Report was produced by the Francis Report Scrutiny Panel***  
*(which reports to The Families and Wellbeing Policy & Performance Committee)*

## Appendix 1: Scope Document for the ‘Francis Report Scrutiny Review’

Date: 24<sup>th</sup> June 2013 (Version 3)

Review Title: Implications of the Francis Report for Wirral

<b>Scrutiny Panel Chair:</b> Cllr Cherry Povall	Contact details:
<b>Panel members:</b> Cllr Alan Brighthouse Cllr Mike Hornby Cllr Moira McLaughlin Cllr Denise Roberts	
<b>Scrutiny Officer:</b> Alan Veitch	Contact details: 0151 691 8564
<b>Departmental Link Officer:</b> Chris Beyga	Contact details: 0151 666 3624
<b>Other Key Officer contacts:</b>	
<p><b>1. Which of our strategic corporate objectives does this topic address?</b> An element of the Council’s statutory scrutiny role is to hold partners to account, including health partners, of which Wirral University Teaching Hospital (WUTH) is one. In addition, this review will support the Council’s Corporate Objectives to Tackle Health Inequalities and Protect the vulnerable in our borough.</p>	
<p><b>2. What are the main issues?</b> This Scrutiny review will focus specifically on the services provided by Wirral University Teaching Hospital (WUTH). 2.1 Are suitable governance and monitoring arrangements currently in place? 2.2 Are basic standards of care being met? 2.3 Is Council scrutiny of the health providers in Wirral as robust as it needs to be? 2.4 How will the Health &amp; Wellbeing Board, Healthwatch and Scrutiny work together collaboratively in the future? 2.5 What information should the Families &amp; Wellbeing Policy &amp; Performance Committee be monitoring on an ongoing basis?</p> <p><b>Out of scope:</b> Services provided by Cheshire &amp; Wirral Partnership Trust (CWP) are NOT included as part of the scope of this Scrutiny Review. (It may be possible to include a similar review for CWP on the Committee’s Work Programme).</p>	
<p><b>3. The Committee’s overall aim/objective in doing this work is:</b> The Leader of the Council made an announcement at Council on 11<sup>th</sup> February 2013 regarding “the shocking report published..... by Mr Robert Francis QC, which found serious failings in the quality hospital care provided by Mid-Staffordshire NHS Foundation Trust”. As part of the announcement, he proposed to write to the Chair of the Council’s Health and Well Being O&amp;S Committee to suggest that the Committee consider the establishment of a ‘Task and Finish’ group to ascertain in detail the suitability of governance and monitoring arrangements which are in place in Wirral.</p>	

<p><b>4. The possible outputs/outcomes are:</b></p> <p>4.1 To understand the current monitoring and reporting arrangements, and if necessary, propose improvements.</p> <p>4.2 An assessment, from a layperson's view, that basic standards of care are being met.</p> <p>4.3 Evaluate whether adequate health scrutiny arrangements are embedded in Wirral.</p>							
<p><b>5. What specific value can scrutiny add to this topic?</b></p> <p>Scrutiny will give members the opportunity to assure themselves that satisfactory governance and monitoring is already taking place and that the monitoring arrangements translate into adequate standards of care. Reassurance is needed that the situation that occurred in Mid Staffordshire cannot happen in Wirral.</p>							
<p><b>6. Who will the Committee be trying to influence as part of its work?</b></p> <p>6.1 Wirral University Teaching Hospital (WUTH)</p> <p>6.2 Wirral Clinical Commissioning Group (CCG)</p> <p>6.3 Wirral Health &amp; Wellbeing Board</p> <p>6.3 Appropriate Cabinet members, Wirral Borough Council</p>							
<p><b>7. Duration of enquiry?</b></p> <ul style="list-style-type: none"> <li>• The Scope document is due to be discussed / agreed at the meeting of the Families &amp; Wellbeing Policy &amp; Performance Committee to be held on 9<sup>th</sup> July 2013.</li> <li>• Evidence Days will be held during the summer.</li> <li>• The review is due to be completed by December 2013.</li> </ul>							
<p><b>8. What category does the review fall into?</b></p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">Policy Review <input type="checkbox"/></td> <td style="width: 50%;">Policy Development <input type="checkbox"/></td> </tr> <tr> <td>External Partnership X <input checked="" type="checkbox"/></td> <td>Performance Management <input type="checkbox"/></td> </tr> <tr> <td>Holding Executive to Account <input type="checkbox"/></td> <td></td> </tr> </table>		Policy Review <input type="checkbox"/>	Policy Development <input type="checkbox"/>	External Partnership X <input checked="" type="checkbox"/>	Performance Management <input type="checkbox"/>	Holding Executive to Account <input type="checkbox"/>	
Policy Review <input type="checkbox"/>	Policy Development <input type="checkbox"/>						
External Partnership X <input checked="" type="checkbox"/>	Performance Management <input type="checkbox"/>						
Holding Executive to Account <input type="checkbox"/>							
<p><b>9. Extra resources needed? Would the investigation benefit from the co-operation of an expert witness?</b></p> <p>The review will be conducted by councillors with the support of existing officers. However, the panel is looking for advice from people with expertise on this topic.</p>							

<b>10. What information do we need?</b>	
<p><b>10.1 Secondary information (background information, existing reports, legislation, central government documents, etc).</b></p> <ul style="list-style-type: none"> <li>• The Francis report</li> <li>• Relevant Government Departmental reports</li> <li>• Relevant national documents, including briefing papers</li> <li>• LGiU briefing papers</li> <li>• The current monitoring arrangements for services provided by WUTH.</li> <li>• Reports from other Councils relating to the same topic</li> <li>• Overview of relationships between local health functions</li> </ul>	<p><b>10.2 Primary/new evidence/information</b></p> <p>Interviews with key officers and representatives of partner organisations</p> <p>Input from patients or patient representative groups</p> <p>The number of complaints and how they are dealt with</p> <p>Examples of best practice from health scrutiny arrangements in other Local Authorities</p>
<p><b>10.3 Who can provide us with further relevant evidence? (Cabinet portfolio holder, officer, service user, general public, expert witness, etc).</b>  <b>council officers to include:</b>          Potential witnesses include the following:</p> <ul style="list-style-type: none"> <li>• Clinical Commissioning Group (CCG) – Phil Jennings / Abhi Mantgani</li> <li>• Wirral University Teaching Hospital (WUTH):             <ul style="list-style-type: none"> <li>David Allison (Chief Executive)</li> <li>Luke Readman, Head of Information</li> <li>Governor’s Patient Experience Sub-Committee</li> </ul> </li> <li>• Health &amp; Wellbeing Board</li> <li>• Healthwatch – Annette Roberts</li> <li>• PALS (Patient Advice and Liaison Service)</li> <li>• Older People’s Parliament</li> <li>• Patient Participation Groups (from GP practices)</li> <li>• All 66 Wirral Councillors</li> <li>• 4 MPs representing Wirral Council</li> <li>• Staff representatives / Trade Unions</li> <li>• Greater Liverpool &amp; Knowsley RCN Colm Byrne</li> <li>• Citizens Advice Bureau</li> </ul>	<p><b>10.4 What specific areas do we want them to cover when they give evidence?</b></p> <p>Specific lines of enquiry will include the following:</p> <p>What are the CCG plans to hold WUTH to account?</p> <p>What is the working relationship between local health bodies, such as Clinical Commissioning Group, Area Team, Service Providers, Director of Public Health, Health &amp; Wellbeing Board, Healthwatch and Health Scrutiny?</p> <p>Are the current procedures for monitoring Quality Accounts adequate?</p> <p>How is patient experience measured and how are complaints monitored?</p> <p>How does patient satisfaction vary across different wards?</p>

**11. What processes can we use to feed into the review? (site visits/observations, face-to-face questioning, telephone survey, written questionnaire, etc).**

11.1 An Evidence Day(s) will be organised. Witnesses, including those listed in Section 10.3 above, will be invited to attend at a specified time throughout the day(s)

11.2 Desktop analysis / research

11.3 Possible Focus Groups of patients

11.4 Possible survey of Wirral Councillors / MPs

**12. In what ways can we involve the public and at what stages? (consider whole range of consultative mechanisms, local committees and local ward mechanisms).**

12.1 The holding of a Focus Group(s) involving patients is being considered

12.2 Advocacy agencies such as Healthwatch, PALS (Patient Advice and Liaison Service, Older People's Parliament and Patient Participation Groups (from GP practices) will be invited to represent the views of their clients / members.

## WIRRAL COUNCIL

### CABINET

13<sup>TH</sup> MARCH 2014

<b>SUBJECT:</b>	<b>LOCAL TRANSPORT CAPITAL FUNDING &amp; THE INTEGRATED TRANSPORT BLOCK (ITB) PROGRAMME 2014/15</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>KEVIN ADDERLEY, STRATEGIC DIRECTOR REGENERATION &amp; ENVIRONMENT</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>COUNCILLOR HARRY SMITH, HIGHWAYS AND TRANSPORTATION</b>
<b>KEY DECISION?</b>	<b>YES</b>

#### 1.0 EXECUTIVE SUMMARY

- 1.1 In 2011, the Department for Transport (DfT) set out Integrated Transport Block (ITB) capital allocations for 2011/12 and 2012/13, along with indicative figures for 2013/14 and 2014/15. On 17 January 2013, the Integrated Transport Authority's Strategy and Finance Committee agreed the allocation and distribution of the ITB for 2013/14 and 2014/15, subject to final confirmation from the DfT. On 30 December 2013, the DfT wrote to the Integrated Transport Authority (ITA) confirming the Merseyside ITB allocation for 2014/15. This confirmed allocation was the same as the 'indicative' amount reported to the ITA's Strategy and Finance Committee in January 2013 and confirmed the allocation to Wirral as £1,653,000.
- 1.2 This report seeks Cabinet approval to accept the £1,653,000 ITB funding and allocate it as outlined in the report. Schemes and projects within the proposed 2014/15 Capital Programme and the proposed allocation of ITB are prioritised in line with the Council's Corporate Plan, and specifically supporting the priority for 'driving growth and aspiration'. The provision of sustainable transport measures will open up travel choices for people and help them to access employment sites and job opportunities. The schemes and projects identified in this report will help to tackle the negative impacts caused by road casualties and traffic congestion on the economy.
- 1.3 The schemes detailed within this report that form the ITB Capital Programme directly address the Council's Statutory Duties as set out in the Highways Act 1980, Road Traffic Regulations Act 1984, Road Traffic Act 1988, Local Government Act 2000 and the Traffic Management Act 2004.

## 2.0 BACKGROUND AND KEY ISSUES

- 2.1 This section provides Members with a brief overview of the priorities and objectives in the third Local Transport Plan (LTP3), which came into effect at the start of April 2011.
- 2.2 Following the Local Transport Act 2008, the Merseyside Integrated Transport Authority (ITA) has formal statutory responsibility for LTP3, however, in keeping with the established partnership working in Merseyside, it has been produced in collaboration with all of the Merseyside local authorities. The LTP Strategy document is a crucial policy/statutory framework for future transport provision.
- 2.3 The third LTP has been developed according to government guidance to ensure that the Merseyside transport system aids economic growth whilst, at the same time, playing its part in reducing carbon emissions and addressing climate change. The strategy aims to deliver other local priorities of improving health and well-being, so that health inequalities, social exclusion, improved accessibility and safety can be addressed.
- 2.4 Key actions over the short-term, therefore, have been identified that:
- Prioritise maintenance programmes;
  - Provide a robust framework linking transport and future developments in a way that can reduce long distance travel and carbon emissions, and improve accessibility;
  - Expand the range of public transport services;
  - Begin to implement the next generation of technology;
  - Develop and enhance the freight and logistics network;
  - Reduce carbon emissions and reliance on oil, improve air quality and improve health;
  - Increase sustainable and safe travel; and
  - Continue to reduce road traffic accidents.
- 2.5 Each of the Merseyside LTP partner authorities has developed their own capital programme which, when combined, form a Merseyside-wide Implementation Plan. Wirral's LTP programme has been constructed under the following headings to reflect the above key actions and complement the Council's Corporate Plan by implementing measures that broaden travel choice, improve road safety and reduce congestion which all contribute to improving the economy. The Directorate Plan has a priority to reduce the number of people killed and seriously injured on the road network.
- **Improving Road Safety;**
  - **Promoting Active Travel & Health;**
  - **Reducing Congestion & Carbon Emissions; and**
  - **Transportation – General.**
- 2.6 Sections 3 to 6 of this report address each of these headings in turn, and present a breakdown of the ITB funding against potential projects. Wirral's



ITB allocation of **£1,653,000** for 2014/15, based on the existing ITB local formula, equates to 9.59% of the Merseyside ITB settlement (£17,234,000) after the core-activity fund has been taken off by the ITA. **Appendix A** shows the list of schemes and the allocation of funding to the headings listed above in 2.5.

- 2.7 Should any of the schemes identified in this report be found to be not viable upon further detailed investigation, or be completed for less than the indicative cost, the Head of Service (Environment and Regulation) in conjunction with Party Spokespersons shall be given delegated authority to identify suitable additional or replacement.
- 2.8 In October 2013, Cabinet approved slippage of £55,000 from the Neighbourhood funding into the 2014/15 financial year. Cabinet also agreed to re-allocate £55,000 of the 2013/14 programme to the Council's Major Scheme Business Case for the Dock Bridges but agreed that this would be funded back to the Neighbourhoods using the 2014/15 allocation. A separate allocation is made to the Neighbourhoods from the 2014/15 programme.
- 2.9 The ITB Capital Programme for 2014/15 provides an allocation of £256,000 (£201,000 plus the reimbursement of £55,000 from the 2013/14 programme) to the Neighbourhoods / Constituency Committees. This provides a total allocation to the Constituency Committees of £311,000 (£77,750 for each Constituency Committee). This funding is distributed over two blocks: 'Improving Road Safety' and 'Promoting Active Travel and Health'. Schemes within this element will be for Constituency Committees to prioritise and determine but should deliver road safety and/or active travel / health benefits, in line with the agreed Merseyside LTP.
- 2.10 An external grant of £30,000 from Living Streets was accepted by Cabinet in October 2013. This grant was provided by Living Streets to support the joint Local Sustainable Transport Fund (LSTF) bid that the Council and Living Streets are delivering. In 2014-15, £10,000 will be spent on measures to support sustainable travel to schools.
- 2.11 Members should note that the A41 Bolton Road roundabout scheme could not be delivered in 2013/14 due to issues in obtaining a tender. However, the scheme has been re-tendered and will now be constructed during 2014/15. The overall project estimate has increased from the £350,000 originally approved as part of the 2013/14 programme, up to a current estimate of £475,000, following detailed design. Approximately £45,000 has been incurred on consultation and design in 2013/14 and the remaining £180,000 of 2013/14 LTP funding, as well as the £125,000 grant from Sustrans, will be slipped into 2014/15. Paragraphs 3.2.4 and 4.3.3 below include additional sums of £100,000 and £25,000 respectively for this scheme to ensure it can now be delivered in 2014/15.

### **3.0 IMPROVING ROAD SAFETY (£638,000)**

- 3.1 The LTP Capital Programme block allocation for 'Improving Road Safety' may be summarised as:

<b>IMPROVING ROAD SAFETY</b>	<b>Allocation</b>
Local Safety Schemes (LSS)	£ 420,000
School Travel Improvements - Safer Routes To School (SRTS)	£90,000
Constituency Committees**	£128,000
<b>TOTAL</b>	<b>£638,000</b>

### **3.2 Local Safety Schemes (LSS) (£420,000)**

3.2.1 The Directorate Plan has a priority to reduce the number of people killed and seriously injured on the road network. Schemes prioritised within the Local Safety Scheme programme will have a major impact in reducing the number and severity of casualties on Wirral's roads and, thereby making a contribution to tackling the negative impacts on the local economy and supporting the priority to 'drive growth and aspiration'.

3.2.2 The Local Safety Scheme programme allocation contains scheme(s) that address the obligations required as part of the Council's Statutory Duties (as set out in the Highways Act 1980, Road Traffic Regulations Act 1984, Road Traffic Act 1988, Local Government Act 2000 and the Traffic Management Act 2004) and are proven with evidential information (e.g. DfT Road Safety Research Report no.108 'contribution of Local Safety Schemes to Casualty Reduction') to reduce road accident casualties.

3.2.3 The list below identifies schemes totalling £420,000 for inclusion within the 2014/15 LSS programme based upon the results of preliminary investigations by the Accident Investigation Unit into the accident records for each location, together with an overall initial assessment of the suitability for suggested remedial measures that can be economically justified based on the expected accident cost savings. Further detailed investigations will be required prior to any final scheme being designed.

3.2.4 The list has been prepared with initial estimates, however it should be noted that final schemes will be subject to the costing of detailed designs and statutory undertakers' works, together with statutory consultation where required.

<b>LOCAL SAFETY SCHEMES (Sub-Block):</b>	<b>Allocation:</b>
Houghton Road, Woodchurch - Speed Cushions	£60,000
Laird St, Birkenhead - Puffin improvements (build-outs / lay-bys)	£185,000
Shrewsbury Road / Gerald Road, Oxton - Mini-roundabout	£60,000
Eleanor Road, Bidston	£15,000
A41 Bolton Road	£100,000
<b>TOTAL (Sub-Block)</b>	<b>£420,000</b>

3.2.5 Members will note that a specific budget heading for Traffic Calming is not included within the proposed Road Safety block for 2014/15. Traffic calming measures will however continue to be considered where their provision supports specific initiatives and where such schemes may be justified on their

existing personal injury accident record. (Approved Traffic calming criteria - **Appendix C** attached).

### 3.3 School Travel Improvements - Safer Routes To School (SRTS)(£90,000)

3.3.1 The scheme within the Safer Routes To School programme has been selected to provide and promote sustainable travel options. SRTS schemes help teachers, parents/carers and children to reduce car use on the school journey and adopt a more sustainable approach to getting to school by walking and cycling thereby increasing their independence, health and fitness. Such schemes by their very nature also help to contribute to a reduction in Wirral's carbon footprint.

<b>SCHOOL TRAVEL IMPROVEMENTS (Sub-Block)</b>	<b>Allocation:</b>
<b>SAFER ROUTES TO SCHOOL:</b>	
Old Chester Road (adj Plessington High School), Bebington - Puffin crossing	£90,000
<b>TOTAL (Sub-Block)</b>	<b>£90,000</b>

### 3.4 Constituency Committees (£128,000) – Road Safety

3.4.1 The ITB Capital Programme provides an allocation of £256,000 (£201,000 plus the reimbursement of £55,000 from the 2013/14 programme) to the Neighbourhoods / Constituency Committees. Combined with the funding slippage approved by Cabinet in October 2013 of £55,000 this will provide a total allocation of £311,000 distributed over two funding blocks. The Capital Programme for 2014/15 proposes an allocation to the Constituency Committees (£32,000 per Constituency Committee) from the 'Improving Road Safety' Block of £128,000.

3.4.2 Schemes within this element of element will be for Constituency Committees to prioritise and determine but should deliver road safety and/or active travel / health benefits, in line with the agreed Merseyside LTP.

<b>CONSTITUENCY COMMITTEE'S (Sub-Block)</b>	<b>Allocation:</b>
Birkenhead Constituency Committee - Neighbourhood Forum	£32,000
Wallasey Constituency Committee - Neighbourhood Forum	£32,000
Wirral South Constituency Committee - Neighbourhood Forum	£32,000
Wirral West Constituency Committee - Neighbourhood Forum	£32,000
<b>TOTAL (Sub-Block)</b>	<b>£128,000</b>

### 4.0 PROMOTING ACTIVE TRAVEL & HEALTH (£430,000)

4.1 The LTP Capital programme block allocation for 'Promoting Active Travel & Health' may be summarised as:

<b>PROMOTING ACTIVE TRAVEL &amp; HEALTH</b>	<b>Allocation</b>
Walking Strategy	£ 132,000
Cycling Strategy	£ 170,000
Constituency Committees	£128,000

<b>TOTAL</b>	<b>£430,000</b>
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## 4.2 Walking Strategy (£132,000)

4.2.1 Schemes and projects within the Walking Strategy programme are prioritised in line with the Council's Corporate Plan and priority to 'drive growth and aspiration'. Pedestrians can be at higher risk on the road network and schemes developed will encourage walking through better environments where it is safe and attractive to do so, thereby promoting a carbon friendly, sustainable and healthy alternative mode of transport.

4.2.2 The Walking Strategy deals with the following specific programmes and recommends works/allocations for each of the following headings listed below. The schemes proposed are also designed to compliment the terms of reference adopted by the Wirral Pedestrian Forum that advocate and promote safe, accessible and usable facilities and routes across the borough, making walking more attractive and accessible to residents, visitors, employees and businesses.

4.2.3 The proposed Walking Strategy programme can be summarised as follows:

<b>WALKING STRATEGY (Sub-Block):</b>	<b>Allocation:</b>
Park Road West / Ashville Road - Pedestrian Islands at roundabout	£55,000
Park Road North / Bidston Avenue / Norman Street, Birkenhead - Pedestrian Islands	£50,000
Pedestrian Dropped Crossings	£12,000
Spital Rd / Croft Ave, Bromborough - Signal reconfiguration	£5,000
Public Rights Of Way - Improvement Plan	£10,000
<b>TOTAL (Sub-Block)</b>	<b>£132,000</b>

4.2.4 Members will note that a specific budget heading for the provision of Pedestrian Crossing facilities has not been included within the proposed 'Active Travel & Health' block for 2014/15. Members will be aware that, in previous years, a list of requests for Pedestrian Crossings is submitted (assessed against the approved weighting criteria) and subsequently prioritised within the 'Pedestrian Crossing' sub-block allocation of the Walking Strategy together with schemes to improve or provide formal signalised pedestrian crossing facilities at existing signalised junctions were additional benefits can be accrued in line with other objectives (e.g. Safer Routes to School) and at other sites that can be prioritised for action based upon potential accident savings in line with LTP priority targets.

4.2.5 Wirral Council's successful national funding bid (Local Sustainable Transport Fund) made through the Merseyside Transport Partnership (MTP) to the DfT to deliver a 3-year programme of sustainable transport measures, was approved by Cabinet on 8th October 2012. A number of schemes are subsequently being developed with the aim of supporting sustainable transport modes through the provision of facilities for pedestrians (and

cyclists) that include Puffin & Toucan crossings and formal crossings at signalised junctions as part of the successful LSTF bid allocation.

- 4.2.6 The provision of walking schemes to assist Pedestrians will also continue to be considered where such schemes may be justified on their existing personal injury accident record.
- 4.2.7 A programme of improvements will also continue to be identified, prioritised and implemented to compliment the Public Rights of Way Improvement Plan.
- 4.2.8 **Appendix B** lists the requests for the provision of dropped crossings that are to be recommended as prioritised for action in consultation with Wirral Information Resource for Equality & Disability (WIRED). Any specific locations raised directly by WIRED during consideration will also be assessed during these consultations. The provision of a single dropped crossing facility costs in the region of £750 but it should be noted that it will not be possible to address all requests.

**4.3 Cycling Strategy (£170,000)**

- 4.3.1 The schemes and projects identified within the Cycling Strategy programme will encourage cycle travel to employment sites and thereby support the Council’s priority to ‘drive growth and aspiration’. Investment in infrastructure for cyclists will also contribute to reducing the number and severity of casualties on the road network and to reducing Wirral’s carbon footprint.
- 4.3.2 External funding in the form of grants from Sustrans and the LSTF contribute towards the Cycling Strategy Sub Block. In October 2013, minute 75 refers, Cabinet accepted a grant of £125,000 from Sustrans towards the A41 / Bolton Road scheme. Cabinet will also consider a LSTF programme for 2014/15 at the Cabinet meeting on 13<sup>th</sup> March 2014.
- 4.3.3 The proposed Cycling Strategy programme can be summarised as follows:

<b>CYCLING STRATEGY (Sub-Block)</b>	<b>Allocation:</b>
A41 corridor improvement scheme	£50,000
A41 corridor improvement scheme	£50,000
A41 Bolton Road	£25,000
Cycling Improvement Scheme	£45,000
<b>TOTAL (Sub-Block)</b>	<b>£170,000</b>

**4.4 Constituency Committees (£128,000) - Active Travel**

- 4.4.1 The ITB Capital Programme also proposes to allocate £128,000 (£32,000 per Constituency Committee) from the ‘Promoting Active Travel and Health’ block to the Constituency Committees. Schemes within this element of element will again be for Constituency Committees to prioritise and determine but should also deliver road safety and/or active travel / health benefits, in line with the agreed Merseyside LTP and DfT guidance.

<b>CONSTITUENCY COMMITTEE'S (Sub-Block)</b>	<b>Allocation:</b>
Birkenhead Constituency Committee - Neighbourhood Forum	£32,000
Wallasey Constituency Committee - Neighbourhood Forum	£32,000
Wirral South Constituency Committee - Neighbourhood Forum	£32,000
Wirral West Constituency Committee - Neighbourhood Forum	£32,000
<b>TOTAL (Sub-Block)</b>	<b>£128,000</b>

## **5.0 REDUCING CONGESTION & CARBON EMISSIONS (£355,000)**

5.1 The LTP Capital programme block allocation for 'Reducing Congestion & Carbon Emissions' may be summarised as;

<b>REDUCING CONGESTION &amp; CARBON EMISSIONS</b>	<b>Allocation</b>
<b>UTC / Telematics / CCTV:</b>	
Improvements to existing asset/other technological advancements	£350,000
<b>Travel Plans &amp; Travelwise:</b>	
Travel Plan Measures	£5,000
<b>TOTAL</b>	<b>£355,000</b>

### **5.3 UTC / Telematics / CCTV (£350,000)**

5.3.1 Implementation of the 'next generation' technology is identified as one of the short-term key actions for LTP3, to improve information systems and help maintain free-flowing networks, increase journey opportunities and integrate a wide range of transport uses.

5.3.2 It is proposed that a sum of £350,000 be allocated to accelerate the provision of 'next generation' technology improvements to the existing asset (identified as one of the short-term key actions for LTP3), to improve traffic management and road safety. Examples include the replacement of existing obsolete or ageing pedestrian/traffic signal aspects with low-carbon Extra Low Voltage (ELV) technology and upgrading ageing pedestrian 'Pelican' crossings to 'Puffin' crossings, the provision of variable message signing and CCTV for traffic monitoring purposes and other intelligent telematic systems on the highway linked to the Council's Urban Traffic Control Room designed to improve traffic network management.

### **5.4 Travel Plan Measures (£5,000)**

5.4.1 In order to continue to support the Council's Travel Plan, which complements the Merseyside TravelWise initiative to promote sustainable travel, a sum of £5,000 has been allocated to implement measures to encourage employees and visitors to Council buildings to reduce single occupancy car trips.

## **6.0 TRANSPORTATION GENERAL (£230,000)**

6.1 The LTP Capital programme block allocation for 'Transportation' may be summarised as:

<b>TRANSPORTATION - GENERAL</b>		<b>Allocation</b>
Advance Design		£ 130,000
Forward Planning, Research & Monitoring		£100,000
	<b>TOTAL</b>	<b>£230,000</b>

6.2 The 'Transportation (General)' block allocation covers expenditure aimed at meeting the constantly evolving range of demands linked to LTP delivery. This budget allocation allows for Advanced Design, Land & Forward Planning, and Research & Monitoring and Project Development.

## **7.0 RELEVANT RISKS**

7.1 Failure to undertake the identified programme of works could result in the Council not meeting its Statutory Duties as set out in the Highways Act 1980, Road Traffic Regulations Act 1984, Road Traffic Act 1988, Local Government Act 2000 and the Traffic Management Act 2004.

7.2 Failure to undertake the identified programme of works would also result in a failure to address the Council's LTP3 Objectives and the Council's Corporate Goals and Objectives to make sure that Wirral's roads are safe and well maintained and to continue reducing the number of people killed or seriously injured in road traffic accidents.

## **8.0 OTHER OPTIONS CONSIDERED**

8.1 None. The proposed programmes and projects identified within this report enable the Council to comply with its Statutory Duties as set out in the Highways Act 1980, Road Traffic Regulations Act 1984, Road Traffic Act 1988, Local Government Act 2000 and the Traffic Management Act 2004 and address the Council's LTP3 Objectives and the Council's Corporate Goals and Objectives to make sure that Wirral's roads are safe and well maintained and to continue reducing the number of people killed or seriously injured in road traffic accidents.

## **9.0 CONSULTATION**

9.1 Detailed scheme proposals will be subject to further Public and Member consultation as appropriate and engagement with other interested bodies (Cycle Forum / Pedestrian Forum / W.I.R.E.D etc).

## **10.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

10.1 LTP3 strives to promote the concept of a new mobility culture and how transport provision is planned, provided and promoted. Pooling of resources and expertise across a number of policy areas and embracing as many partners and stakeholders as possible will make the best use of resources for the maximum benefit for the people of Merseyside.

10.2 To this end, one key action within the short-term implementation plan is to expand the range of public transport services by examining the role of other

providers, backed by a network of neighbourhood based information services, which may have implications for voluntary, community and faith groups.

## **11.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

11.1 Funding for the schemes identified in sections 3 to 6 of this report and Appendices A and B are funded from the ITB allocation of £1,653,000 for 2014/15 and by approved slippage from the 2013/14 programme. Existing staff resources will be used for the detailed investigation, design and supervision of these schemes. Future maintenance costs will be met from the Highway Maintenance Revenue Budget.

## **12.0 LEGAL IMPLICATIONS**

12.1 As defined by the Highways Act 1980, Road Traffic Regulations Act 1984, Road Traffic Act 1988, Local Government Act 2000 and the Traffic Management Act 2004.

## **13.0 EQUALITIES IMPLICATIONS**

13.1 As part of the development of LTP3, a comprehensive Integrated Assessment (IA) was carried out in accordance with Government LTP Guidance. The IA included a number of assessments, including an Equality Impact Assessment dated October 2010.

13.2 The proposed programme of works that supports the LTP3 strategy includes measures to assist the transport needs of all sections of the community.

## **14.0 CARBON REDUCTION IMPLICATIONS**

14.1 The greater majority of schemes under the 'Improving Road Safety', 'Active Travel & Health' and 'Reducing Congestion & Carbon Emissions' headings will help to improve the efficiency of travel on the road network and reduce CO<sub>2</sub> emissions.

## **15.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

15.1 There are no specific planning implications arising from this report.

## **16.0 RECOMMENDATION**

16.1 Cabinet is requested to:

- i) Approve the proposed allocation of the Local Transport Plan Capital programme 2014/15 Integrated Transport Block between the four identified headings of 'Improving Road Safety', 'Promoting Active Travel & Health', 'Reducing Congestion & Carbon Emissions' and 'General Transportation' as detailed in this report.
- ii) Approve detailed programmes of schemes and projects under each of the four identified headings of the combined Integrated Transport Block



(ITB) Capital Programme for 2014/15 set out in Sections 3 to 6 (and summarised in **Appendix A**) of this report.

- iii) Delegated authority to the Head of Service (Environment and Regulation), in conjunction with the Cabinet Member for Streetscene and Transport Services and Party Spokespersons, to make necessary adjustments to the priorities within the programme should the need arise due to financial conditions or other factors.

## **17.0 REASON/S FOR RECOMMENDATION/S**

- 17.1 To ensure that the transport capital programme reflects the Corporate Plan priorities and the LTP3 short-term implementation priorities, and has the flexibility to ensure delivery of the most effective schemes within the financial year.

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## **APPENDICES**

**Appendix 'A'** Local Transport Capital Funding & The Integrated Transport Block (ITB) Programme 2014/15 - SUMMARY

**Appendix 'B'** Walking Strategy - Pedestrian Improvements: Dropped Crossing Requests

**Appendix 'C'** – Traffic Calming Criteria

## **REFERENCE MATERIAL: SUBJECT HISTORY (last 3 years)**

<b>Council Meeting</b>	<b>Date</b>
<b>CABINET</b> (Capital Programme and Financing 2014-2017)	<b>12<sup>th</sup> February 2014</b>
<b>CABINET</b> (Local Transport Capital Funding & The Integrated Transport Block (ITB) Programme 2013/14)	<b>24<sup>th</sup> January 2013</b>
<b>CABINET</b> (Local Transport Capital Funding & The Integrated Transport Block (ITB) Programme 2012/13)	<b>15<sup>th</sup> March 2012</b>

<b>COUNCIL</b>	<b>12th December 2011</b>
<b>CABINET</b> (Capital Programme and Financing 2012-2015)	<b>8<sup>th</sup> December 2011</b>
<b>CABINET</b> (Local Transport Capital Funding & The Integrated Transport Block (ITB) Programme 2011/12)	<b>17<sup>th</sup> March 2011</b>
<b>CABINET</b> (Council Capital Programme 2011/12)	<b>21<sup>st</sup> February 2011</b>
<b>CABINET</b> (Provisional Local Government Finance Settlement)	<b>13<sup>th</sup> January 2011</b>

	Scheme	£
<b>IMPROVING ROAD SAFETY (£638,000)</b>		
	<b>LOCAL SAFETY SCHEMES</b>	<b>£420,000</b>
	<b>Local Safety Schemes</b>	
	Houghton Road, Woodchurch - Traffic Calming	£60,000
	Laird St, Birkenhead - Puffin improvements / build-outs / lay-bys	£185,000
	Shrewsbury Road / Gerald Road, Oxton - Mini-roundabout	£60,000
	Eleanor Road, Bidston - kerb-realignment works / signing / road markings	£15,000
	A41 Bolton Road	£100,000
	<b>SAFER ROUTES TO SCHOOL / ETP</b>	<b>£90,000</b>
	<b>Safer Routes To School / ETP</b>	
	Old Chester Road, Bebington - Puffin crossing build-outs / lay-bys	£90,000
	<b>CONSTITUENCY COMMITTEES (NEIGHBOURHOOD FORUMS)</b>	<b>£128,000</b>
	<b>Constituency Committees</b>	
	Birkenhead Constituency Committee - Neighbourhood Forum	£32,000
	Wallasey Constituency Committee - Neighbourhood Forum	£32,000
	Wirral South Constituency Committee - Neighbourhood Forum	£32,000
	Wirral West Constituency Committee - Neighbourhood Forum	£32,000
	<b>IMPROVING ROAD SAFETY - TOTAL:</b>	<b>£638,000</b>
<b>PROMOTING ACTIVE TRAVEL &amp; HEALTH (£430,000)</b>		
	<b>WALKING STRATEGY</b>	<b>£132,000</b>
	<b>Walking Schemes</b>	<b>£122,000</b>
	Park Road West / Ashville Road - Pedestrian island improvements	£55,000
	Park Road North / Bidston Ave / Norman Street, Birkenhead - Crossing improvements	£50,000
	Pedestrian Dropped Crossings	£12,000
	Spital Rd / Croft Ave, Bromborough - Signal reconfiguration	£5,000
	<b>Public Rights Of Way Improvement Plan</b>	<b>£10,000</b>
	Public Rights Of Way Improvement Plan	£10,000
	<b>CYCLING STRATEGY</b>	<b>£170,000</b>
	<b>Cycling Strategy</b>	<b>£170,000</b>
	A41 corridor improvement scheme - off-road cycle facilities / crossing improvements	£50,000
	A41 corridor improvement scheme - off-road cycle facilities / crossing improvements	£50,000
	A41 Bolton Road	£25,000
	Old Clatterbridge Road - carriageway / route improvement measures	£45,000
	<b>CONSTITUENCY COMMITTEES (NEIGHBOURHOOD FORUMS)</b>	<b>£128,000</b>
	<b>Constituency Committees</b>	
	Birkenhead Constituency Committee - Neighbourhood Forum	£32,000

	Wallasey Constituency Committee - Neighbourhood Forum	£32,000
	Wirral South Constituency Committee - Neighbourhood Forum	£32,000
	Wirral West Constituency Committee - Neighbourhood Forum	£32,000
	<b>PROMOTING ACTIVE TRAVEL &amp; HEATH - TOTAL:</b>	<b>£430,000</b>
	<b>Scheme</b>	<b>£</b>
	<b>REDUCING CONGESTION &amp; CARBON EMISSIONS (£355,000)</b>	
	<b>TRAFFIC MANAGEMENT</b>	<b>£350,000</b>
	<b>UTC / Telematics / CCTV</b>	<b>£350,000</b>
	Improvements to existing asset / other technological advancements	£350,000
	<b>TRAVEL PLANS &amp; TRAVELWISE</b>	<b>£5,000</b>
	Council's Travel Plan Measures	<b>£5,000</b>
	<b>REDUCING CONGESTION &amp; CARBON EMISSIONS - TOTAL:</b>	<b>£355,000</b>
	<b>TRANSPORTATION - GENERAL (£230,000)</b>	
	<b>ADVANCE DESIGN</b>	<b>£130,000</b>
	<b>Advance Design</b>	<b>£130,000</b>
		£130,000
	<b>RESEARCH &amp; MONITORING</b>	<b>£100,000</b>
	<b>Forward Planning</b>	<b>£100,000</b>
	Forward Planning	£100,000
	<b>TRANSPORTATION GENERAL - TOTAL:</b>	<b>£230,000</b>

**LTP CAPITAL PROGRAMME 2014 / 15 - TOTAL: £1,653,000**

## 2014/15 WALKING STRATEGY

## PEDESTRIAN IMPROVEMENTS - DROPPED CROSSINGS

NEW REQUESTS

Location	Ward	No of Crossings
o/s 3 Broadway, Bebington (Service Road)	Bebington	2
o/s 9 Broadway, Bebington (Service Road)	Bebington	2
o/s 10 Broadway, Bebington (Service Road)	Bebington	2
Front & Rear of Caxton Close	Bidston & St James	4
Wirral Ladies Golf Club, Bidston Road	Bidston & St James	2
Cloughton rd car pk entrance opp church	Birkenhead & Tranmere	2
Sycamore Road / Beech Road	Birkenhead & Tranmere	2
Allport Lane; Bromborough near to the council run car park at Legion Lane	Bromborough	1
Spital Road / Stanhope Drive	Bromborough	2
Norwood Road at entrance to Norwood Court	Greasby, Frankby & Irby	2
Barnston Road / Brimstage Road	Heswall	2
Footway fronting Glegg Arms Public House, Chester Road	Heswall	1
Alderley Road / Valencia Road, Hoylake Ward	Hoylake & Meols	2
Alderley Road North / Evans Road	Hoylake & Meols	2
Grange Road / Riversdale Road	Hoylake & Meols	2
Chapelhill Road / Hopfield Road	Leasowe & Moreton East	2
Chapelhill Road / Lomond Grove	Leasowe & Moreton East	2
Reeds Lane / Birket Avenue.	Leasowe & Moreton East	2
Vehicle Crossing o/s 8 Chapelhill Road	Leasowe & Moreton East	2
Vehicle Crossing o/s 12 Chapelhill Road	Leasowe & Moreton East	2
Vehicle Entrance to School opp 232 Chapelhill Road	Leasowe & Moreton East	2
Cloughton Drive / Love Lane	Liscard	2
Liscard Road	Liscard	TBC
Martins Lane	Liscard	TBC
Seaview Road	Liscard	TBC
Kestrel Road / Macdonald Road	Moreton West & Saughall Massie	2
Pensby Road / Pensby Close, Pensby	Pensby & Thingwall	2
Top of Holm Lane @ Duck Pond Lane -	Prenton	2
Kiln Road @ jct with Leeswood Rd	Woodchurch	2
Kiln Road @ jct with Glebe Hey Rd.	Woodchurch	2

## **PREVIOUS REQUESTS**

<b>Location</b>	<b>Ward</b>	<b>No of Crossings</b>
Higher Bebington Road @ vehicle crossing o/s 156 - Dropped Kerbs	Bebington	1
Kings Lane / Woodburn Boulevard - Dropped Kerbs	Bebington	1
Kings Lane / Kingswood Boulevard - Dropped Kerbs	Bebington	1
Kings Lane / Queenswood Avenue - Dropped Kerbs	Bebington	1
Kings Lane / Service Road (o/s 139 Kings Lane) - Dropped Kerbs	Bebington	1
Kings Road @ first entrance into Christ Church - Dropped Kerbs	Bebington	1
Kings Road @ Kings Close	Bebington	2
Millfield Close, Bebington (Junction School Lane)	Bebington	2
Mount Road (Access outside 47a)	Bebington	2
Mount Road ( Access outside 49)	Bebington	2
Mount Road @ Mount Avenue	Bebington	2
Mount Road @ Mount Drive	Bebington	2
Mount Road @ Mill Road	Bebington	2
Argyle Street South (Union St-Central Stn)	Birkenhead & Tranmere	TBA
Balls Road / Woodchurch Road	Birkenhead & Tranmere	2
Borough Road / Harrowby Road	Birkenhead & Tranmere	2
Bidston Moss (Either side of entrance into MFI car park)	Bidston & St James	2
Chester Street / Shore Road (Kerb line rear of Tramway	Birkenhead & Tranmere	2
Cleveland Street (Locations to be confirmed)	Birkenhead & Tranmere	TBA
Entrance bet30 & 36 Olive Mount	Birkenhead & Tranmere	2
Exmouth Street (at entrance across fire station)	Birkenhead & Tranmere	2
Gamlin Street (O/S No 1 & 29)	Birkenhead & Tranmere	4
Grange Road East @ Argyle Street	Birkenhead & Tranmere	2
Lord Street (at vehicle access to rear of Wirral Heritage Tramway)	Birkenhead & Tranmere	2
Hinderton Road	Birkenhead & Tranmere	TBA
Lord Street (vehicle entrance to Municipal Building)	Birkenhead & Tranmere	TBA
Market Street (Between Argyle Street & Adelphi Street)	Birkenhead & Tranmere	20
Olive Mount @ Holborn Hill,	Birkenhead & Tranmere	2
Olive Mount @ Olive Crescent,	Birkenhead & Tranmere	2
Olive Mount @ Frodsham Street,	Birkenhead & Tranmere	2
Side of 56 Thompson Street,	Birkenhead & Tranmere	1
Old Chester Road	Birkenhead & Tranmere	TBA
Queen Street	Birkenhead & Tranmere	TBA
Shore Road	Birkenhead & Tranmere	9
St Mary's Gate @ Chester Street	Birkenhead & Tranmere	2
Thompson Street @ Warrington St	Birkenhead & Tranmere	2
Waterloo Place	Birkenhead & Tranmere	4
Whitfield Street (Access adjacent to 17)	Birkenhead & Tranmere	2

Boundary Road / Circular Drive (2no junctions)	Bromborough	4
Brookhurst Avenue, Bromborough	Bromborough	TBA
Caldbeck Road	Bromborough	TBA
Central Road / Windy Bank	Bromborough	2
Central Road / Lower Road	Bromborough	2
Central Rd at Entrance to Osbourne Court (s/o No. 3 Central Rd)	Bromborough	2
Central Road / Primrose Hill	Bromborough	2
Legion Lane (at end of road were it meets car park)	Bromborough	1
O/S Bromborough Hotel, Mark Rake, Bromborough.	Bromborough	1
Opposite 89 Acre Lane	Bromborough	1
S/O no. 2 Marquis Street, New Ferry	Bromborough	2
S/O no. 2 Marquis Street, New Ferry	Bromborough	2
Stanhope Drive, Bromborough (Across 2no. entrances to Meadowcroft)	Bromborough	4
Welton Road	Bromborough	TBA
Wentworth Drive/Brookhurst Avenue.	Bromborough	2
Bidston Road @ Vyner Road South	Clughton	2
Dibbins Hey at Woodkind Hey	Clatterbridge	2
Dibbins Hey at Thornfield Hey	Clatterbridge	2
Dibbins Hey at Venables Drive	Clatterbridge	2
Dibbins Hey at Gotham Road,	Clatterbridge	2
Noctorum Way @ St Peters Way	Clughton	2
Olivia Close (opposite sheltered housing bungalows)	Clughton	1
Olivia Close (Opposite sheltered housing bungalows)	Clughton	TBA
Ormond Way its junction with Ossett Close	Clughton	TBA
Ormond Way its junction with Ollerton Close	Clughton	TBA
Ormond Way its junction with Orlando Close	Clughton	2
Ormond Way @ Ossett Close	Clughton	2
Clifton Avenue/Willington Ave	Eastham	2
Clifton Avenue/Hatton Ave	Eastham	2
Side of no. 2 St David Road	Eastham	2
Greasby Road @ Norwood Road	Greasby, Frankby & Irby	2
Wharfedale Drive, Eastham (Outside No 53 to provide access across the road to entry leading to shops)	Eastham	2
Glenwood Drive (entrance to former garages between 67 & 73)	Greasby, Frankby & Irby	2
Greasby Road (Outside number 185) Highfield Drive	Greasby, Frankby & Irby	2
Greasby Road / Rylands Hey	Greasby, Frankby & Irby	2
Irby Road @ Woodlands Road, Irby	Greasby, Frankby & Irby	2
Hambledon Drive / Retford Close	Greasby, Frankby & Irby	2
Hambledon / Beauworth Avenue	Greasby, Frankby & Irby	2
Mill Lane @ Thorns Drive	Greasby, Frankby & Irby	2
Mill Hill Road @ Heathbank Avenue	Greasby, Frankby & Irby	2
Mill Lane (Vehicle entrance at s/o no.20)	Greasby, Frankby & Irby	2
Pump Lane @ Kinloss Road	Greasby, Frankby & Irby	2
Thingwall Road at Coombe Road	Greasby, Frankby & Irby	2

Thingwall Road (at vehicle entrance to The Shippons PH)	Greasby, Frankby & Irby	2
Thingwall Road / Roslin Road	Greasby, Frankby & Irby	2
Thingwall Road / Coombe Road	Greasby, Frankby & Irby	2
Thingwall Road / Harrockwood Close	Greasby, Frankby & Irby	2
Thingwall Road (at slip road s/o no. 120)	Greasby, Frankby & Irby	2
Thingwall Road / Glenwood Drive	Greasby, Frankby & Irby	2
Thingwall Road / Elm Road	Greasby, Frankby & Irby	2
Thingwall Road (at 4no. entrances to service road)	Greasby, Frankby & Irby	2
Thingwall Road / Whalley Lane	Greasby, Frankby & Irby	8
Thingwall Road / Parkway	Greasby, Frankby & Irby	2
Thorns Drive @ Sycamore Rise	Greasby, Frankby & Irby	2
Thorns Drive @ Elmdene Court	Greasby, Frankby & Irby	2
Thorns Drive @ Chesnut Close	Greasby, Frankby & Irby	2
Thorns Drive @ Oakdale Drive	Greasby, Frankby & Irby	2
Wood Lane	Greasby, Frankby & Irby	40 +
Disabled slope requested for pavements, corner by Lister Lodge across to Cottage Lane (Gayton Farm Road)	Heswall	
Fairview Way, Pensby	Heswall	2
Park Road @ Buffs Lane	Heswall	2
Telegraph Road/Strathallen Close	Heswall	1
Station Road, Heswall (junction Rectory Close)	Heswall	4
Barton Road – Penrhos Road to Service Road r/o Kings Gap	Hoylake & Meols	12
Bennets Lane/Newlyn Road	Hoylake/Meols	2
Chapel Road, Hoylake	Hoylake & Meols	8
Elwyn Road @ Entrance to Great Meols Primary School	Hoylake & Meols	2
Elwyn Road @ Newlyn Road	Hoylake & Meols	2
Graham Road (Adjacent to Applegarth)	Hoylake & Meols	1
Greenwood Lane, Meols	Hoylake & Meols	1
Melrose Avenue	Hoylake & Meols	1
North Parade / Meols Parade, Meols	Hoylake & Meols	TBA
Rycroft Road @ Birkenhead Road, Meols	Hoylake & Meols	2
Drake Road	Leasowe & Moreton East	TBA
Danger Lane / Daneswell Drive	Leasowe & Moreton East	2
Danger Lane / Yew Way	Leasowe & Moreton East	2
Danger Lane / Pasture Avenue	Leasowe & Moreton East	2
Leasowe Road (at slip road to north Wallasey approach)	Leasowe & Moreton East	8
Cameron Road @ Mackenzie Road	Leasowe & Moreton East	2
Leasowe Road, Leasowe (Pasture Road to Twickenham Drive)	Leasowe & Moreton East	10
Twickenham Dv, Leasowe (Drake Rd to Twickenham Dv side rd)	Leasowe & Moreton East	4
Cromer Drive/Leander Rd - S/o junction o/s 20 Cromer Drive	Liscard	2
Eaton Street @ Grosvenor Street, Liscard	Liscard	2
Martins Lane o/s The Primrose	Liscard	2
Ruskin Avenue, Wallasey	Liscard	TBA
St Albans Road at 2no. entrances to St Albans School	Liscard	4



St Albans Road, Liscard	Liscard	16
St Elmo Road (entry at s/o 1)	Liscard	2
Torrington Road and Rullerton Road	Liscard	2
Trafalgar Avenue / St Columba's Close	Liscard	2
Water Street, Egremont	Liscard	2
Withens Lane, Wallasey (o/s Saddlers Pub & British Legion)	Liscard	2
Pasture Road (Either side of entrance to cycle path running adjacent to The Birket)	Moreton West & Saughall Massie	4
Berrylands Road (rear entrance to Harvest Court)	Moreton West & Saughall Massie	2
Berrylands Road o/s no. 2. Ramp required for elderly residents	Moreton West & Saughall Massie	1
Borrowdale Road (Burrell Drive to Hoylake Road)	Moreton West & Saughall Massie	
Douglas Drive At Francis Avenue	Moreton West & Saughall Massie	2
Rosslyn Drive at Rosslyn Crescent	Moreton West & Saughall Massie	2
S/O 20 Maryland Lane	Moreton West & Saughall Massie	1
Upton Road / Rosslyn Drive	Moreton West & Saughall Massie	2
Upton Road / Dawpool Drive	Moreton West & Saughall Massie	2
Upton Road / Winston Grove	Moreton West & Saughall Massie	2
Upton Road / Chadwick Street	Moreton West & Saughall Massie	2
Atherton Street / Victoria Road	New Brighton	2
Coastal Drive, New Brighton	New Brighton	TBA
Marine Promenade at Rowson Street (Roundabout 1 leg adjacent to Bobby's bar)	New Brighton	2
Osborne Road at Osbourne Avenue (corner o/s 2-8 Osborne Vale leading to corner o/s 11 Osborne Road)	New Brighton	2
Rowson St junction of Wellington Road (tactile kerb)	New Brighton	TBA
Victoria Parade / Virginia Road	New Brighton	2
Victoria Parade / Albert Street	New Brighton	2
Victoria Parade / Belmont Road	New Brighton	2
Victoria Road (at entrance to car park)	New Brighton	2
Victoria Road / Windsor Street	New Brighton	2
Victoria Road / Grosvenor Road	New Brighton	2
Victoria Road / Waterloo Road	New Brighton	2
Victoria Road (at entrance to Co-op car park)	New Brighton	2
Victoria Road / Portland Street	New Brighton	2
Alton Road (Shrewsbury Road to Village Road),	Oxton	TBA
Bidston Road (Gerald Road to Silverdale Road)	Oxton	2
Bidston Road at entrance to West Knowe	Oxton	2
Fairview Road / Fairview Close	Oxton	2
Fairview Road (at vehicle entrance side of St Josephs school)	Oxton	2
Fairview Road / Downing Close	Oxton	2

Fairview Road / The Grove	Oxton	2
Fairview Road (at St Josephs school entrance)	Oxton	2
Gerald Road (Shrewsbury Road to Bidston Road)	Oxton	TBA
Outside 4 Holm Lane (redundant vehicle crossing)	Oxton	TBA
Outside 38 Holm Lane (redundant vehicle crossing)	Oxton	TBA
Outside 40a Holm Lane (vehicle crossing)	Oxton	TBA
Holm Lane at entrance to Holm Cottages	Oxton	TBA
Nursery Close	Oxton	1
Shrewsbury Road, Oxton (Palm Hill to Alton Road)	Oxton	8
Shrewsbury Road (Alton Road to Silverdale Road)	Oxton	TBA
Spurstow Close, Oxton (junction Calveley Close)	Oxton	2
Talbot Road, Oxton (Townfield Lane to Holm Lane)	Oxton	6
Village Road/Claughton Firs, Oxton	Oxton	4
Village Road (Alton Road to Rose Mount),	Oxton	TBA
Woodchurch Road @ Woodhurch Court (Opp Oakdene Rd)	Oxton	2
Kentmere Drive (@ Derwent and Rusland)	Pensby & Thingwall	4
Langdale Avenue at Rydal Close	Pensby & Thingwall	2
Langdale Avenue at Paltridge Way	Pensby & Thingwall	2
Langdale Avenue at Rydal Close	Pensby & Thingwall	2
Langdale Avenue at Paltridge Way	Pensby & Thingwall	2
Old Wood Road, Pensby (o/s no.55)	Pensby & Thingwall	1
Ryland Park, Pensby (o/s Emmanuel Church)	Pensby & Thingwall	1
Opp Pensall House (Fairview Way)	Pensby & Thingwall	2
S/o 11, Pensall Drive	Pensby & Thingwall	2
Thingwall Road / Parkway	Pensby & Thingwall	2
Thingwall Road East (at vehicle entrance to 81)	Pensby & Thingwall	2
Thingwall Road East / adjacent service road o/s 9	Pensby & Thingwall	2
Pensby Road (at entrance to Thingwall Primary School)	Pensby & Thingwall	2
Pensby Road at entrance to Stanley School	Pensby & Thingwall	2
98/100 Prenton Village Road	Prenton	1
O/S 1 Mount Road, Prenton	Prenton	1
Outside 98 Prenton Village Road - Dropped Kerbs.	Prenton	1
Prenton Village Road/Prenton Dell Road	Prenton	2
Johnson Road (at both junctions with Prenton Dell Road)	Prenton	4
Johnson Road (across entrance to garages adjacent to no. 47)	Prenton	2
Gothic Street (Access adjacent to no. 36)	Rock Ferry	2
Gothic Street (Access adjacent to no. 47)	Rock Ferry	2
King Street at its junction with Sefton Road	Rock Ferry	2
King Street at its junction with Acton Road	Rock Ferry	2
King Street at its junction with Wilton Road	Rock Ferry	2
King Street at its junction with Queens Road.	Rock Ferry	2
Nelson Road (Access adjacent to Derby Arms Public House)	Rock Ferry	2
Nelson Road at entrance to Nelson Court	Rock Ferry	2
Woodward Road (Outside 126)	Rock Ferry	1
Matthew Street, Wallasey	Seacombe	6

Wheatland Lane at Vernon Avenue	Seacombe	2
Wheatland Lane at Geneva Road	Seacombe	2
Wheatland Lane at Lucerne Road	Seacombe	2
Poulton Road (Canterbury Road to Borough Road)	Seacombe	TBA
Wheatland Lane / Oakdale Road	Seacombe	2
Upton Road / 1. Torwood. 2. Interbene Lodge	Upton	4
2 Ford Close,	Upton	1
Entrance to church car park, Church Road	Upton	2
Fleet Croft Road at its junction with Archers Way	Upton	1
Fleet Croft Road at its junction with Goodakers Meadow	Upton	1
Fleet Croft Road at its junction with Troutbeck Close	Upton	1
Fleet Croft Road at its junction with Crewe Garden	Upton	1
Fleet Croft Road at its junction with Eltham Green	Upton	1
Fleet Croft Road at its junction with Childwall Green	Upton	1
Leeswood Road, Woodchurch (junction with Arrowe Park Road)	Upton	2
Leeswood Road at Glebe Hey Road	Upton	2
Leeswood Road (at service road between Glebe Hey Road and Domville Drive)	Upton	2
Leeswood Road (at service road between Domville Drive and North Brooke Way)	Upton	2
Leeswood Road (at service road between North Brooke Way and Kiln Road)	Upton	2
Leeswood Road at Kiln Road	Upton	2
Moreton Road, Upton Ward (entrance to service road o/s flat nos. 135 to 145, northwest of junction with Royden Road)	Upton	2
Orret's Meadow Road (o/s 120 & 165),	Upton	2
Orret's Meadow Road (outside no. 120 leading to opposite side of cul-de-sac),	Upton	2
Salacre Lane @ Slingsby Drive	Upton	2
Slingsby Drive at entrance to St Mary's Court	Upton	2
Whitewell Drive at junction with Sunny Bank	Upton	2
Claremount Road at the junction of Taunton Road	Wallasey	2
Claremount Road at 2no. Entrances to Claremount Methodist Church	Wallasey	4
Grove Road / Keswick Road	Wallasey	2
Marshlands Road, Wallasey	Wallasey	4
Claremount Road and Harrow Road	Wallasey	2
Claremount Road and Church Hill	Wallasey	2
Grove Road @ The Leas, The Willows, Conniston Ave	Wallasey	8
Leasowe Road (2no entrances to Wallasey Van Hire)	Wallasey	4
Kings Parade (gated access to land at the rear of Yacht Club) near lifeguard station	Wallasey	2
Rolleston Drive / Oldfield Road	Wallasey	2
Sea Road (end of road at point where footpath leads to promenade)	Wallasey	1
Sandcliffe Road / Coastal Drive	Wallasey	2
Wallasey Village at its junction with Sandiways Road	Wallasey	2
Wallasey Village. Entrance adjacent to The Farmers Arms PH	Wallasey	2
Wallasey Village. Entrances fronting Classic Cars of Wirral	Wallasey	4
Warren Drive (vehicle entrance at no. 27a)	Wallasey	2
Warren Drive (vehicle entrance at no. 27b)	Wallasey	2

Warren Drive / Zetland Road	Wallasey	2
Warren Drive / Ennerdale Road	Wallasey	2
Bridge Road / Meols Drive, West Kirby	West Kirby & Thurstaston	2
Grange Road / Gerard Road, West Kirby	West Kirby & Thurstaston	2
Frankby Road / China Farm Lane roundabout,	West Kirby & Thurstaston	2
Grange Road / Homestead Mews, West Kirby	West Kirby & Thurstaston	2
o/s 127 Frankby Road,	West Kirby & Thurstaston	2
o/s 129 Frankby Road	West Kirby & Thurstaston	2
o/s 133 Frankby Road	West Kirby & Thurstaston	2
Village Road / St Bridget's Lane, West Kirby	West Kirby & Thurstaston	2
o/s 4 Kiln Road,	Woodchurch	1

**TRAFFIC CALMING CRITERIA**

1. To avoid potential delay for the emergency services in responding to emergencies, sites will not be considered for physical measures such as vertical or horizontal deflections on emergency services priority routes – unless specific approval can be gained.
2. Only sites capable of conforming to the Highways (Road Humps) Regulations 1996 and current Department for Transport advice on design and placement of measures will be considered.
3. Sites should have a road casualty record which would be improved by the introduction of traffic calming measures or be adjacent to existing areas where a comprehensive inclusive zone will be considered.
4. Traffic calming measures may also be considered in support of Constituency Forums or specific initiatives such as home zones; cycling and safer routes to schools measures where such schemes may not be justified solely on their existing/historic road safety records.

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## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT:</b>	<b>LOCAL SUSTAINABLE TRANSPORT FUND 2014/15 PROGRAMME</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>KEVIN ADDERLEY, STRATEGIC DIRECTOR REGENERATION AND ENVIRONMENT</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>COUNCILLOR HARRY SMITH HIGHWAYS AND TRANSPORTATION</b>
<b>KEY DECISION?</b>	<b>YES</b>

#### 1.0 EXECUTIVE SUMMARY

- 1.1 The purpose of this report is to request Members approve the 'Key Component' and 'Major' programmes of the 2014/15 Local Sustainable Transport Fund (LSTF).
- 1.2 This report also seeks authority from Cabinet to accept and commit £215,000 of additional 'Major' revenue funding which has recently been secured from Merseytravel to expand the existing successful projects.
- 1.3 The LSTF aims to assist the Council to support Wirral residents to access employment opportunities, as well as encouraging the use of sustainable transport and contributing to reducing carbon emissions in the Borough. The schemes and projects identified in this report may also help to tackle the negative impacts caused by road casualties and traffic congestion on the economy.

#### 2.0 BACKGROUND AND PROGRESS TO DATE

- 2.1 On the 19<sup>th</sup> January 2011 the Department for Transport (DfT), as part of the Local Transport White Paper, issued guidance regarding the creation of a £560 million LSTF. The purpose of this fund was to help build local economies and address climate change. The fund, both revenue and capital was available over four financial years 2011/12 to 2014/15.
- 2.2. On the 5<sup>th</sup> July 2011 Merseytravel, on behalf of the Merseyside Transport Partnership (MTP) were successful with a £4.877m 'Key Component' bid and Wirral was awarded £810,000 for delivery of projects in East Wirral. In December 2011, the MTP submitted a Major Bid. In July 2012 Merseytravel were informed that the Major Bid was successful and were awarded £19.99 million. Of this, Wirral was awarded £3.2 million.
- 2.3. The LSTF 'Major' funding was accepted by Cabinet on the 18<sup>th</sup> October 2012 (Minute 112), and 'Key Component' funding was accepted on the 24<sup>th</sup> November 2011 (Minute 204).
- 2.4. In January 2014 the LSTF Board approved an application the Council had submitted for an additional £215,000 of revenue funding. This funding was made available from a Merseyside wide contingency fund which had been reserved centrally during the initial

years of LSTF however had not been required for other projects to date. The LSTF Board had approved the allocation of a proportion of the contingency fund to increase the delivery of existing, successful projects. A small contingency fund is still being reserved across the partnership and there may be further opportunities to bid for small amounts of additional funding during 2014/15.

2.5. Wirral Council is delivering a number of projects using the LSTF funding:

**Key Component**

- Travel Solutions
- Working with Employers
- Sustainable Transport Infrastructure

**Major**

- Community Travel Hub
- Business Travel Support
- Walking and Cycling Infrastructure
- Visitor Economy - Walking and Cycling
- Highway Network Improvements
- Maxi Taxi

**3.0 2014/15 PROGRAMME - CAPITAL**

**3.1 Key Component**

3.1.1 £100,000 of LSTF 'Key Component' capital has been awarded to Wirral for 2014/15 and the programme has been identified as follows:

KEY COMPONENT	Scheme Name	Capital (£k)
Working with Employers	Infrastructure grants for employers	10
Sustainable Transport Infrastructure	Continuation of 2013/14 schemes	41
	A41 corridor improvement scheme	49
	<b>Total</b>	<b>100</b>

**3.2 Major**

3.2.1 £675,000 of LSTF 'Major' capital funding has been allocated to Wirral for 2014/15 and is distributed across the various programmes as follows:

MAJOR	Capital (£k)
Walking and Cycling Infrastructure	415
Visitor Economy - Walking and Cycling	104
Highway Network Improvements	156
<b>Total</b>	<b>675</b>

3.2.2 The following table illustrates a breakdown of the individual schemes in each of the individual programmes:



<b>'Major' Programme</b>	<b>Scheme Name</b>	<b>Cost (£k)</b>
Walking & Cycling Infrastructure (£415k)	Continuation of 2013/14 schemes	182
	The Fender: off-road shared footpath/cyclepath	200
	A41 corridor improvement scheme	33
Visitor Economy (£104k)	A41 corridor improvement scheme	104
Highway Network Improvements (£156k)	Continuation of 2013/14 schemes	13
	A41 corridor improvement scheme	143
	<b>Total</b>	<b>675</b>

#### 4.0 2014/15 PROGRAMME – REVENUE

##### 4.1 Key Component

4.1.1 £130,000 of 'Key Component' revenue funding has been awarded to Wirral for 2014/15, as follows;

<b>KEY COMPONENT</b>	<b>Revenue (£k)</b>
Working with Employers	40
Travel Solutions	90
<b>Total</b>	<b>130</b>

4.1.2 The 'Working with Employers' programme will continue to be delivered as per the 2013/14 programme. The programme aims to raise awareness of sustainable travel choices, identify travel related concerns and issues for local businesses and initiate programmes with employers to address these concerns.

4.1.3 The 'Travel Solutions' programme will also continue to be delivered as per the 2013/14 programme and aims to lower barriers that people face and to support them to access employment and training. The project will continue to offer information, advice and guidance on different travel options available and offers solutions including personalised journey planning; travel cards; cycle to work, scooter commuter and travel training. The project provides a streamlined service to identify and assist with the travel needs of individuals, as well as operating travel workshops in the community.

##### 4.2 Major

4.2.1 £368,060 of 'Major' revenue funding had originally been allocated to Wirral for 2014/15. An additional £215,000 has recently been secured. The 2014/15 programme will total £583,030 which is distributed across the various programmes as follows;

<b>MAJOR</b>	<b>Revenue (£k)</b>
Walking and Cycling – Promotion	11
Business Travel Support	178
Community Travel Hub	361
Maxi Taxi	33
<b>Total</b>	<b>583</b>

4.2.2 Revenue funding is provided for both general promotional activities to support walking and cycling to employment and for the promotion of walking and cycling to access visitor attractions.

- 4.2.3 The 'Major' funding for 'Business Travel Support' is combined with the funding secured for the Key Component 'Working with Employers' project (listed in 4.1.1) to deliver one overall employers programme. This funding is used to raise awareness of sustainable travel choices and identify travel related concerns and issues for local businesses and initiate programmes with employers to address these concerns. The programme will also engage with employees to deliver a road safety and eco driving message to adults. The programme will support two Business Travel Support posts to deliver and develop the project and will also support two Road Safety Officers to work with businesses to target employers.
- 4.2.4 The Business Travel Support funding will also be used to support the New Brighton Shuttle Bus during 2014/15. The bus will run at weekends and on bank holidays during the summer to alleviate congestion in the area.
- 4.2.5 The funding for the 'Community Travel Hub' is combined with the funding secured for the Key Component 'Travel Solutions' (listed in 4.1.1) to deliver one overall programme for employers. The funding is used to provide staff for the hub and for the provision of travel solutions.
- 4.2.6 Revenue funding will also be used to work with Sustrans to continue to support a second Bike It+ Officer to be based in Wirral. The Bike it+ scheme works along side pupils and their parents to offer sustainable and active travel solutions as well as free cycle training and cycling opportunities.
- 4.2.7 The 'Maxi Taxi' project is to be continued to be delivered in conjunction with Merseytravel and will provide a flexible taxi project to assist residents of East Wirral to access employment opportunities where no other public transport alternative exists, or where shift patterns make access difficult for those without a car.

## **5.0 RELEVANT RISKS**

- 5.1 The principal risks for the Council are attached to the failure to continue to deliver all or part of the project and therefore not satisfy the requirements of the funding agreement with Merseytravel. This may result in the Council not being able to make a valid claim for the full allocation of the grant from Merseytravel.
- 5.2 This risk will be minimal due to the in house project management as well as through the Merseytravel project management reporting structures which include a monthly reporting, quarterly steering groups and project boards. This would allow any issues to be identified and managed at an early stage.

## **6.0 OTHER OPTIONS CONSIDERED**

- 6.1 There are no other options to consider as the funding has been allocated to Wirral based on a successful bid by the MTP to the DfT. As such in order to claim the funding from Merseytravel, as the accountable body to the DfT, the programme must be delivered in accordance with the bid.

## **7.0 CONSULTATION**

- 7.1 No specific consultation is required for the programme as a whole. This project has been developed with the MTP and stakeholders were consulted during the development of the bid. As individual capital infrastructure projects are being developed consultation will be undertaken.

## **8.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

8.1 The DfT is keen that the LSTF provides benefits for community and voluntary organisations through the delivery of the programme. The project offers opportunities for the voluntary and community to benefit from the funding available through support packages that are offered under the Business Travel Support and Community Travel Hub packages.

## **9.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

9.1 The project (£775,000 capital and £713,000 revenue) will be fully funded through LSTF and there will be no additional financial implications for the Council. The Council will submit quarterly claims to Merseytravel for expenditure incurred to that date.

9.2 The project is delivered using existing staff resources in the Regeneration and Environment Directorate.

9.3 Infrastructure schemes will be implemented as part of the LSTF programme and will become a quantified Council highway asset and as such, will be subject to ongoing maintenance within existing resources.

9.4 The DfT have indicated that they would like to see these projects be sustainable in the long term and, as such, during the life of the project, Officers will continue to work with partners in the private sector, and with third sector organisations to identify options and further funding opportunities for on-going delivery post March 2015.

9.5 The MTP are currently developing an application to the DfT for additional revenue funding for 2015/16 from the DfT which is due to be submitted by the end of March 2014. Successful bidders will be notified in July 2014. Officers are working with colleagues across the MTP to secure funding for Wirral to continue delivery of existing successful schemes.

## **10.0 LEGAL IMPLICATIONS**

10.1 In order to receive the funding Wirral Council have previously signed up to two separate legal funding agreements with Merseytravel. Merseytravel, as the Integrated Transport Authority (ITA) are the accountable body for the project with the DfT.

10.2 The purpose of the funding agreement is to ensure that all the terms and conditions of the grant are met and will ensure that Merseytravel authorise the financial claims that districts make regarding the project.

10.3 In order for Merseytravel to accept the funding they have signed a legal agreement with the DfT under Section 31 of the Local Government Act 2003.

10.4 There are some capital schemes that require legal processes to be followed including the consideration of any concerns and objections to scheme implementation.

## **11.0 EQUALITIES IMPLICATIONS**

11.1 An equalities impact assessment has previously been undertaken for the LSTF project – please refer to Cabinet 18<sup>th</sup> October 2012.

## **12.0 CARBON REDUCTION IMPLICATIONS**

- 12.1 The development of walking and cycling infrastructure, and the promotion of walking and cycling as active and sustainable modes will contribute towards a reduction in single occupancy car trips and a reduction in carbon emissions. Encouraging and supporting the use of public transport through the 'Working with Employers' and 'Travel Solutions' elements of the package will also assist in reducing carbon emissions.

## **13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

- 13.1 Any applications by employers for facilities such as bike shelters or storage would be subject to the normal planning permission process.

## **14.0 RECOMMENDATIONS**

- 14.1 Cabinet is requested to:

- (1) Approve the acceptance of £215,000 of additional revenue funding from Merseytravel for 2014/15.
- (2) Approve the delivery of the 2014/15 Local Sustainable Transport Fund Capital programme as set out in Section 3 of this report.
- (3) Approve the delivery of the 2014/15 Local Sustainable Transport Fund Revenue programme as set out in Section 4 of this report.
- (4) Delegate authority to the Head of Environment and Regulation in conjunction with the Cabinet Member – Highways and Transportation and Party Spokespersons, to make necessary adjustments to the priorities within the programme should the need arise due to financial conditions or other factors.
- (5) Delegate authority to the Head of Environment and Regulation in conjunction with the Cabinet Member – Highways and Transportation to accept any additional funding that may be made available for 2014/15 as a result any re-profiling that may take place across the Merseyside programme, and approve allocation across the programmes as appropriate.

## **15.0 REASON/S FOR RECOMMENDATION/S**

- 15.1 Cabinet is aware of the significant reductions in funding for transport through the Local Transport Plan settlements in recent years. The funding available through LSTF provides the opportunity to deliver additional projects and schemes in Wirral which will assist in the removal of transport as a barrier for people seeking employment, as well as supporting and delivering projects which will secure carbon reduction.
- 15.2 2014/15 is the final year of the three year Major LSTF programme and Merseytravel have indicated that any unspent allocations cannot be carried forward. £775,000 of capital and £713,000 of revenue has been allocated to Wirral for 2014/15, and the Strategic Director of Regeneration and Environment seeks approval to spend this funding on the identified programmes within the current financial year.

**REPORT AUTHOR:****Julie Barnes**

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**APPENDICES**

None

**REFERENCE MATERIAL**

None

**SUBJECT HISTORY (last 3 years)**

<b>Council Meeting</b>	<b>Date</b>
<b>Cabinet – Local Sustainable Transport Fund 2013/14 Programme</b>	<b>13th June 2013</b>
<b>Cabinet – Purchase of Public Transport Tickets</b>	<b>24<sup>th</sup> January 2013</b>
<b>Cabinet – Acceptance of Major Bid Funding</b>	<b>18<sup>th</sup> October 2012</b>
<b>Cabinet –2011/12 Progress Report and 2012/13 Programme</b>	<b>12<sup>th</sup> April 2012</b>
<b>Cabinet – Acceptance of Key Component Funding</b>	<b>24<sup>th</sup> November 2011</b>

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## WIRRAL COUNCIL

### CABINET

13 MARCH 2014

<b>SUBJECT:</b>	<b>NEIGHBOURHOODS PROGRAMME PROGRESS REPORT</b>
<b>WARD/S AFFECTED:</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>CHIEF EXECUTIVE</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>COUNCILLOR GEORGE DAVIES</b>
<b>KEY DECISION?</b>	<b>YES</b>

#### 1.0 EXECUTIVE SUMMARY

- 1.1 This report details the progress made by the Neighbourhoods Programme, established in July 2013 to ensure that every community, group and resident has the opportunity to influence Council resources in their neighbourhoods, across the four constituencies of Wirral.
- 1.2 We will continue to drive forward this approach, empowering our elected members as community leaders to fully utilise the devolved powers and responsibilities given to Constituency Committees to maximise public resources in their areas, and increase community resilience within neighbourhoods to encourage greater independence.
- 1.3 The Council has embarked on a significant agenda of strategic and operational change. Together with our partners we are committed to new ways of working and service transformation based on the principle of finding local solutions to local problems.
- 1.4 We are devolving decision making to Constituency Committees wherever it makes sense to do so, and elected members will inspire communities to come together to find the right solutions to address local need and improve residents' lives. This approach will not just deliver more cost effective services; it will deliver better outcomes for local residents.

#### 2.0 BACKGROUND AND KEY ISSUES

- 2.1 **Governance:** 4 Constituency Committees have been established and are implementing 2013/2014 priority activities within the allocated budgets. Each committee is responsible for producing annual outcomes focussed Constituency Plans based upon the priorities for that area and linked to the Council's Corporate Plan, and will report on progress via an annual report to full Council. Committees will commission activities accordingly with devolved constituency budgets and in accordance with the Council's new Commissioning Strategy (please note this is currently being developed and is yet to be approved). Committees consist of all ward members (15-18 ward members per constituency) and 2 of the 4 Committees have community representation. Handbooks are currently being produced for the committees setting out, within the framework of the terms of reference in the Council's Constitution, how they will operate. Public questions and answer sessions have also been included at Committee meetings.

- 2.2 Constituency data profiles have been developed to support the Constituency Committees in identifying priority areas for budget investment. Elected member training sessions have also been delivered focussing specifically on the content of the data profiles.
- 2.3 The Wirral Public Service Board (WPSB) has been established to act as the strategic driver for transformation across public sector services. The WPSB is working on a number of common principles and cross-cutting issues, for example mapping and sharing data, identifying the joint cost of providing services that are delivered across Wirral, prevention and early intervention, and ensuring residents can actively shape and influence new service design and delivery.
- 2.4 **Delivery:** With our key public, private and community partners the Council will develop more joint commissioning and joint working activities and a new way for local providers to work together to meet local needs, thus improving outcomes for local people and reducing duplication. 4 Local Public Service Boards have been established to act as the operational co-ordination of implementing Constituency Plans and for dealing with residents' issues at source in a multi-agency / multi-disciplinary way.
- 2.5 Soon to be based within the 4 constituencies, the Council has established 4 Constituency Teams (Constituency Managers and Neighbourhood Engagement Officers) to manage and implement this new way of working and to co-ordinate the activities of new multi-agency / multi-disciplinary service hubs. These teams will also support services by putting them in touch with residents and community organisations in order to involve people in the design, delivery, commissioning and evaluation of the services they use.
- 2.7 Full service reviews are taking place across the Council, as part of the Future Council programme. As well as reviewing which services will be invested in for the future, there will also be the opportunity for service re-design as well as redeployment of services to the constituencies.
- 2.6 Wirral's role in the Government's Public Service Transformation Network (PSTN) aims to build on the opportunities created by Community Budgets around the country, leading to more joint working and shared services; a new way for local public service providers to work together to meet local needs. Community Budgets aim to bring public service partners together to share budgets, improve outcomes for local people and reduce duplication and waste. Community behaviour change projects will be piloted in constituencies as part of Wirral's PSTN work streams in 2014/2015.
- 2.7 **Community Engagement:** Through an Asset Based Community Development (ABCD) approach and by implementing a constituency engagement framework and communication strategy, constituency teams will map current and future assets within communities (people, buildings, resources, etc.) and work to equip residents with the tools and knowledge to enable them to make choices that are right for them and their families. We will also encourage residents to have the same level of ambition for their communities as we have for Wirral and utilise all community assets and voluntary efforts.
- 2.8 'Future Conversations' events will be held with residents and the public / private / social sectors within constituencies to develop a shared understanding of the priority issues in



Wirral, to develop solutions to address them, and including a co-design / co-production approach to re-designing services.

2.9 A 12 week 'What Really Matters' consultation programme with residents, businesses, community organisations and partners was implemented by the Constituency teams between September-December 2013. The results of the consultation were used to recommend budget options for 2014/2015 to Cabinet and Council.

2.10 **Constituency Budgets:** For 2013/2014 each Constituency Committee was allocated £50,000 Council funding and £50,000 Public Health funding to spend on deprivation and health inequalities projects:

a) Wallasey Constituency: £15,250 funding towards piloting an outreach service to provide an holistic advice package ('Money MOT') to reduce residents' expenditure through seeking the best energy tariffs, cheaper food shopping, affordable lending, etc. £4,750 to increase residents' awareness of Wirral Well, a voluntary sector service directory to tackle social isolation. £10,000 towards road maintenance and improving road safety, £40,000 towards a Wallasey Bright Ideas fund, £5,000 towards a Problem Solving Fund, £1,500 towards Community Safety Week, £3,500 towards reducing criminal damage by young people, and £20,000 towards Rampworx Youth Village (an extreme sports facility for young people). The remainder of funding is yet to be decided on by the Constituency Committee.

b) Wirral South Constituency: £50,000 Council funding towards traffic surveying projects, footpath resurfacing work, drop kerb installation to enhance accessibility, installation of planters in retail areas and the reinvigoration of neglected horticultural locations. £50,000 Public Health funding towards a voluntary sector support fund (£25k) for projects to apply for up to £3,000 funding, and the further £25k towards the same support fund but for applications to be open to all.

c) Wirral West Constituency: For the £50,000 Council funding, the Committee has invited bids for projects that improve quality of life in West Wirral, and positively impact on local people and places. Up to £10,000 is available per ward, with a limit of £1,000 per project. For the £50,000 Public Health funding that aims to improve health outcomes in the constituency, organisations have been asked to submit project ideas which address a number of specific priorities, including child poverty and social isolation. Decisions on which projects will be funded will be made at the March 2014 Committee meeting.

d) Birkenhead Constituency: The Committee agreed 4 priorities for 2013/14 to utilise the £100,000 funding allocation. These are (i) Improving the Environment, (ii) Improving data collation (public sector expenditure on services and impact), (iii) Improving services for Young People, and (iv) Improving Communication. A task and finish group is currently developing proposals for initiatives to deliver against these 4 priorities. As part of community engagement to support developments, the Committee has also completed a piece of research with residents and social sector organisations to ascertain their vision and aspirations for Birkenhead.

2.11 The Council's £40,000 Love Wirral grants programme has also been administered via the Neighbourhoods Programme, a campaign to encourage people to take greater responsibility and pride in their own local environment, whether they live, work or visit

Wirral. A public voting system was used to rank and prioritise applications, and final decisions will be taken by the Constituency Committees.

### **3.0 RELEVANT RISKS**

3.1 A risk register underpins the implementation of the neighbourhoods programme, developed and monitored in line with quarterly performance management arrangements. Examples of risk include:

- Effectively forecasting impacts from social / demographic change.
- Potential disconnect between local priorities and the Corporate Plan.
- Insufficient capacity within social sector to fully engage with the neighbourhoods programme.
- Key partners using different systems for reporting residents' issues.

### **4.0 OTHER OPTIONS CONSIDERED**

4.1 Upon considering best practice elsewhere, operating neighbourhood working on a constituency footprint provides the most effective way of ensuring that every Wirral community, group and resident has the opportunity to influence Council resources in their neighbourhoods.

### **5.0 CONSULTATION**

5.1 Future working models questions were included in the 'What Really Matters' consultation exercise in 2012 with residents, staff and partners, as part of developing a neighbourhood approach to working.

5.2 'Future Council' conversations events will be held within constituencies with residents and the public / private / social sectors to develop a shared understanding of the priority issues in Wirral, to develop solutions to address them, including a co-design / co-production approach to re-designing services.

### **6.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

6.1 'Future Council' conversations events will be held within constituencies with residents and the public / private / social sectors to develop a shared understanding of the priority issues in Wirral, to develop solutions to address them, including a co-design / co-production approach to re-designing services.

### **7.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

7.1 The Neighbourhoods programme will support efficiency savings in the following areas:

- Sharing resources (workforces, services, budgets and assets)
- Eliminating duplication
- Service redesign
- Service integration (e.g. health and social care)
- Joint, outcomes focussed commissioning and procurement
- Prevention and early intervention programmes
- Increasing neighbourhood resilience
- Less demand for public services

## 8.0 LEGAL IMPLICATIONS

- 8.1 The Localism Act 2011 gives councils more freedom to work together with others in new ways and has introduced new rights for communities: including a 'Right to Buy' public assets and increased opportunities for participation in the delivery of services. Locally this presents opportunities to forge new partnerships with communities to evidence, shape and deliver public policy and services across Wirral.

## 9.0 EQUALITIES IMPLICATIONS

- 9.1 Has the potential impact of your proposal(s) been reviewed with regard to equality?

(a) No because equality impact assessments are being completed for all service area reviews prior to devolving to constituencies, and as part of the future council remodelling exercise.

## 10.0 CARBON REDUCTION IMPLICATIONS

- 10.1 The Neighbourhoods Programme will encourage sharing of community assets, therefore supporting carbon reduction.

## 11.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

- 11.1 Positive implications will arise from the Neighbourhoods Programme as local communities will have a greater role in commenting on planning proposals and having a more immediate and direct influence regarding community safety implications

## 12.0 RECOMMENDATION/S

- 12.1 Cabinet note the progress of the Neighbourhoods Programme.

## 13.0 REASON/S FOR RECOMMENDATION/S

- 13.1 For services to be more effectively and efficiently configured, targeted and delivered.

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## SUBJECT HISTORY (last 3 years)

Council Meeting	Date
Cabinet – WHAT REALLY MATTERS CONSULTATION FINDINGS	08/11/12
Cabinet - <i>NEIGHBOURHOOD WORKING –FORGING A MODERN RELATIONSHIP BETWEEN THE COUNCIL AND RESIDENTS</i>	24/01/13
Council - <i>NEIGHBOURHOOD WORKING –FORGING A MODERN RELATIONSHIP BETWEEN THE COUNCIL AND RESIDENTS</i>	11/02/13

