

County Offices
Newland
Lincoln
LN1 1YL

1 July 2019

Executive

A meeting of the Executive will be held on **Tuesday, 9 July 2019** in **Committee Room One, County Offices, Newland, Lincoln LN1 1YL** at **10.30 am** for the transaction of business set out on the attached Agenda.

Yours sincerely



Debbie Barnes OBE
Head of Paid Service

Membership of the Executive
(8 Members of the Council)

Councillor M J Hill OBE, Executive Councillor for Resources and Communications (Leader of the Council)

Councillor Mrs P A Bradwell OBE, Executive Councillor for Adult Care, Health and Children's Services (Deputy Leader)

Councillor C J Davie, Executive Councillor for Economy and Place

Councillor R G Davies, Executive Councillor for Highways, Transport and IT

Councillor E J Poll, Executive Councillor for Commercial and Environmental Management

Councillor Mrs S Woolley, Executive Councillor for NHS Liaison and Community Engagement

Councillor C N Worth, Executive Councillor for Culture and Emergency Services

Councillor B Young, Executive Councillor for Community Safety and People Management

**EXECUTIVE AGENDA
TUESDAY, 9 JULY 2019**

Item	Title	Forward Plan Decision Reference	Pages
1	Apologies for Absence		
2	Declarations of Councillors' Interests		
3	Announcements by the Leader, Executive Councillors and Executive Directors		
4	Minutes of the Meeting of the Executive held on 4 June 2019		5 - 10

KEY DECISIONS - ITEMS TO BE RESOLVED BY THE EXECUTIVE

5	Commissioning Arrangements for Child and Adolescent Mental Health Service (CAMHS) <i>To receive a report from the Interim Director of Education, which provides information on the commissioning review of the Child and Adolescent Mental Health Service in Lincolnshire which commenced in April 2018, from which a Commissioning Plan (Appendix A) was produced and seeks approval of recommendations for future commissioning from 1 April 2020)</i>	I017969	11 - 60
6	Extra Care Housing <i>(To receive a report from the Executive Director of Adult Care and Community Wellbeing, which seeks approval for the provision of Council funding for an Extra Care Housing development at De Wint Court, Lincoln)</i>	I017762	61 - 132
7	Review of Financial Performance 2018/19 <i>(To receive a report from the Executive Director – Resources, which describes the Council's financial performance in 2018/19)</i>	I017768	133 - 192

NON KEY DECISIONS - ITEMS TO BE RESOLVED BY THE EXECUTIVE

8	Performance Reporting against the Council Business Plan - Quarter 4 <i>(To receive a report from the Head of Paid Service, which invites the Executive to note and consider 2018/19 Quarter 4 performance and approve the proposed changes to reporting, as set out in the report)</i>	I016869	193 - 212
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ITEMS REFERRED FROM OVERVIEW AND SCRUTINY COMMITTEES

9 Final Report from the Transitions Scrutiny Review

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213 - 232

(To receive a report from the Executive Director – Resources, which invites the Executive to consider the Scrutiny Review on Transitions and to make arrangements to respond by 9 September 2019)

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Please Note: for more information about any of the following please contact the Democratic Services Officer responsible for servicing this meeting

- Business of the meeting
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**EXECUTIVE
4 JUNE 2019**

PRESENT: COUNCILLOR M J HILL OBE (LEADER OF THE COUNCIL)

Councillors C J Davie (Executive Councillor for Economy and Place), R G Davies (Executive Councillor for Highways, Transport and IT), E J Poll (Executive Councillor for Commercial and Environmental Management), Mrs S Woolley (Executive Councillor for NHS Liaison and Community Engagement), C N Worth (Executive Councillor for Culture and Emergency Services) and B Young (Executive Councillor for Community Safety and People Management)

Councillor R B Parker (Chairman of the Overview and Scrutiny Management Board) was also in attendance.

Officers in attendance:-

Debbie Barnes OBE (Head of Paid Service), Andrew Crookham (Executive Director Resources), James Drury (Executive Director Commercial), Glen Garrod (Executive Director of Adult Care and Community Wellbeing), Andy Gutherson (Interim Executive Director Place), Cheryl Hall (Democratic Services Officer), David Hickman (Head of Environment), Andrew Jee (Senior Floods and Special Projects Officer), Heather Sandy (Interim Director of Education), George Spiteri (Strategic Commercial and Performance Manager) and Nigel West (Head of Democratic Services and Statutory Scrutiny Officer)

1 APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillor Mrs P A Bradwell OBE and Pete Moore (Executive Director of Finance and Public Protection).

2 DECLARATIONS OF COUNCILLORS' INTERESTS

There were no declarations of interest.

3 ANNOUNCEMENTS BY THE LEADER, EXECUTIVE COUNCILLORS AND EXECUTIVE DIRECTORS

There were no announcements.

4 MINUTES OF THE MEETING OF THE EXECUTIVE HELD ON 8 MAY 2019

RESOLVED

That the minutes from the meeting held on 8 May 2019 be approved and signed by the Chairman as a correct record.

5 COMMISSIONING STRATEGIES

Consideration was given to a report from the Executive Director – Commercial, which sought approval of the content of the commissioning strategies for the following areas: Specialist Adult Services; Safeguarding Adults; Carers; Adult Frailty and Long Term Conditions; Community Wellbeing; and Public Protection, each in the form of the relevant highlight report, as detailed at Appendix A to the report.

The Head of Paid Service introduced the report and in doing so highlighted that each commissioning strategy had been considered by the relevant scrutiny committee between 5 September 2018 and 12 March 2019. With hindsight it would have been better to submit each commissioning strategy to the Executive immediately after its consideration by the relevant scrutiny committee, which would have avoided a delay.

The Head of Paid Service also reported that the commissioning strategy process was being reviewed, with a view to introducing priority objectives and service plans.

The Chairman of the Overview and Scrutiny Management Board advised that the report had been considered by the Board at its meeting on 30 May 2019 and the Board had agreed to support the content of the highlight reports for the six commissioning strategies. The Chairman of the Board presented the Board's comments, which were tabled at the meeting of the Executive and highlighted the following comments on specific commissioning strategies:

Specialist Adult Services Commissioning Strategy

- An example of a scheme using capital investment to reduce revenue costs was extra care housing, which could be developed jointly with district councils; with one scheme in particular planned in Lincoln, which would support adults in one facility, rather than in residential care.
- The importance of NHS health checks for adults and children with learning disabilities was highlighted.
- The NHS should be encouraged to improve access to mental health services.

Carers Commissioning Strategy

- The importance of the development of the carers portal for all carers was highlighted.
- identifying and providing support to young carers (*Carers Commissioning Strategy*);

Adults and Long Term Conditions Commissioning Strategy

- The Board questioned the reasoning for the categorisation of 'adult services' (ages 18-64) and 'older adult services' (age 65+), particularly in the light of the increase in state pension age.

Adult Safeguarding; Community Wellbeing; and Protecting the Public Commissioning Strategies

- There were no specific comments on these three commissioning strategies.

During consideration of the report, the following points were noted:

- A report on Extra Care Housing was due to be considered by the Executive on 9 July 2019 (*Specialist Adult Services Commissioning Strategy*).
- The County Council was seeking improved performance in relation to NHS health checks for all eligible adults and children (*Community Wellbeing Commissioning Strategy*).
- The local NHS was leading on the implementation of a carers portal and the Council was awaiting a launch date. It was advised that the Council's website currently linked to the Carers First website, as an interim measure. It was anticipated that when the Council's website was relaunched in September 2019 there would be a link from the website to the carers portal (*Carers Commissioning Strategy*).
- It was clarified that on page 18 of the agenda pack under the heading *Engagement Activity with Service Users and Carers*, the word *which* should be replaced with *wish* (*Specialist Adult Services Commissioning Strategy*).
- It was suggested that on page 18 of the agenda pack under the heading *What are the Agreed "Outcomes"* reference be made to the learning disability mortality review programme (*Specialist Adult Services Commissioning Strategy*).
- It was emphasised that on page 23 of the agenda pack under the heading *What are the Agreed "Outcomes"* the third bullet point ("Ensuring people are asked what outcomes they want to achieve and respecting the right for adults to make unwise-decisions") should be listed as the first bullet point, as it would thus prioritise the County Council's customers (*Safeguarding Commissioning Strategy*).
- It was requested that on page 28 of the agenda pack the opening sentence under the heading *Existing Pooled Budget/Co-commissioning Arrangements (if any)* be reworded so that it was clear that the figure of £231,875 related to the total cost of the service provided by the organisation *Every-One* and not to the cost of the Carers Quality Award (*Carers Commissioning Strategy*).

RESOLVED

That approval be given to the content of the commissioning strategies for the following areas:-

- Specialist Adult Services
- Safeguarding Adults
- Carers
- Adult Frailty and Long Term Conditions
- Community Wellbeing
- Public Protection

each in the form of the relevant highlight report, attached at Appendix A to the report.

**6 WATER RESOURCES EAST - LINCOLNSHIRE COUNTY COUNCIL
MEMBERSHIP OF THE COMPANY**

Consideration was given to a report from the Executive Director – Place, which updated on the role of Water Resources East (WRE), its formation as an independent not for profit company and opportunities for Lincolnshire County Council to influence outcomes, including decisions on National Significant Water Infrastructure.

The report sought approval for Lincolnshire County Council to become a member of the company, and to appoint a Lincolnshire County Council Member to the WRE Board of Directors as an outside body, and to authorise the Executive Director – Place, or an officer nominated by him, to exercise the powers of the Council as a member of the company in consultation with the Executive Councillor for Economy and Place

The Chairman of the Overview and Scrutiny Management Board advised that on 21 May 2019, the Environment and Economy Scrutiny Committee had considered the same report and had supported the recommendations contained within the report. The comments of the Committee were circulated at the meeting of the Executive.

In response to a question, it was confirmed that the internal drainage boards' national association (ADA) had been offered a seat on the WRE board and that individual internal drainage boards were closely engaged with work on the ground.

RESOLVED

- (1) That approval be given to the Council taking up membership of the Water Resources East company.
- (2) That the appointment of Councillor E J Poll as a Director of Water Resources East be approved.
- (3) That the Executive Director - Place (or any officer nominated by him) be delegated authority, in consultation with the Executive Councillor for Economy and Place, to exercise the powers of the Council as a member of the Council whether in general meeting or otherwise.
- (4) That approval be given to the making by the council of in-kind contribution to the resourcing of the Company in lieu of a financial commitment.
- (5) That approval be given to the entering into by the council of any collateral agreements, for example any Shareholders or Members Agreements necessary to give effect to the council's membership of the company.
- (6) That the Executive Director – Place be delegated authority, in consultation with the Executive Councillor for Commercial and Environmental Management, to approve the final form of the council's membership of the company, its in-kind contribution and any legal documentation.

7 REPRESENTATION ON OUTSIDE BODIES

A report from the Executive Director – Resources was considered which presented the list of appointments to outside bodies under the remit of the Executive, as detailed at Appendix A to the report. The Executive was also invited to note the appointments made by the Leader and Executive Councillors, as detailed at Appendices B and C.

RESOLVED

- (1) That the Outside Body list, as detailed at Appendix A to the report, be approved, subject to the membership of the County Councils Network being amended from Councillor R G Davies to Councillor B Young.
- (2) That the current appointments made by the Leader and Executive Councillors under delegated authority, as set out in Appendices B and C to the report, be noted.

The meeting closed at 11.05 am.

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**Open Report on behalf of Heather Sandy,
Interim Director of Education**

Report to:	Executive
Date:	09 July 2019
Subject:	Commissioning Arrangements for Child and Adolescent Mental Health Service (CAMHS)
Decision Reference:	I017969
Key decision?	Yes

Summary:

A commissioning review of CAMHS in Lincolnshire commenced in April 2018, from which the attached Commissioning Plan (Appendix A) has been produced to make recommendations for future commissioning from 1 April 2020.

Lincolnshire has one of the highest performing CAMHS in the country, and preventative services such as Healthy Minds Lincolnshire and online counselling are resulting in lower referral rates to CAMHS locally. The evidence is clear that the joint investment from both the Council and Clinical Commissioning Groups (CCGs) has a huge impact on children and young people's (CYP) mental health services and improving the lives of CYP and their families in Lincolnshire, particularly the most vulnerable.

CAMHS is meeting statutory requirements, including those specific to the Council, and the delivery model aligns to recommendations made in national policies. Children and young people's mental health is a clear Government priority with clear targets through the "Transforming Children and Young People's Mental Health Provision" Green Paper and NHS Long Term Plan that we need to work towards.

Whilst Lincolnshire is meeting the targets for access to mental health support set by NHS England, there are still too many CYP that need support and are not accessing core emotional wellbeing or mental health services. Evidence suggests that the needs of those that are accessing CAMHS are more complex.

The service review has confirmed that extensive structural changes to the CAMHS service are not required at this time, however commissioners will ensure that the CAMHS delivery specification will be modified to include key recommendations in the Commissioning Plan.

Recommendation(s):

That the Executive:

- 1) Approves the entering into by the Council of an Agreement under section 75 of the National Health Service Act 2006 with the Clinical Commissioning Groups in Lincolnshire for the pooling of funding and lead commissioning by the Council of the Child and Adolescent Mental Health Services (CAMHS).
- 2) Approves the entering into by the Council of an Agreement under section 75 of the National Health Service Act 2006 with Lincolnshire Partnership NHS Foundation Trust (LPFT) for the exercise by LPFT of the functions of the Council in relation to CAMHS alongside relevant NHS functions.
- 3) Approves the Council maintaining the current level of core funding (£724,589) whilst working with LPFT to find areas of efficiency to increase what this funding is used for.
- 4) Delegates to the Interim Director of Education in consultation with the Executive Councillor for Adult Care, Health and Children's Services authority to determine the final form of the above agreements and approve them being entered into.

Alternatives Considered:

1.	Do nothing – current contractual arrangements will expire on 31 March 2020, therefore it is not a viable option to do nothing and allow the agreement to expire.
2.	Decommissioning – the commissioning of the service supports the Council and CCGs in fulfilling statutory duties, therefore decommissioning the service would result in significant legal and public challenge so this is not a legitimate option for consideration.
3.	Insourcing – there is no desire to bring delivery of these services within the Council or CCG away from the provider market, therefore this option is not recommended.
4.	Procurement by means of an open competitive tender – for reasons outlined in the Commissioning Plan, including lack of marketplace appetite or a varied market for CAMHS in Lincolnshire, and risk of uncertainty that a change in provider may result in, this option is not recommended.

Reasons for Recommendation:

This recommended option is based on the current service performance, stakeholder feedback and market analysis undertaken as part of the review of CAMHS and outlined in the Commissioning Plan.

1. Background

1.1. A commissioning review of CAMHS in Lincolnshire commenced in April 2018. The review considered local and national policy requirements, local need and feedback from CAMHS users/professionals, the performance of the existing CAMHS provision, a comparison against CAMHS in other areas and the supplier market. The attached Commissioning Plan aims to inform decision makers of:

- The key findings of the CAMHS review
- Recommended changes to CAMHS in Lincolnshire
- How much funding is required
- The best route for commissioning CAMHS in the future.

Current Commissioning Arrangements

1.2. There are currently two contractual arrangements in place that relate to the commissioning of CAMHS both of which expire 31 March 2020:

- An agreement (made under section 75 of the NHS Act 2006) between the Council and Lincolnshire CCGs. This agreement allows funding for CAMHS to be pooled and delegates lead commissioning responsibility to the Council.
- An agreement (made under section 75 of the NHS Act 2006) between the Council and LPFT under which LPFT exercises the Council's functions in the areas of specialist CAMHS and a range of related children's services which are the responsibility of the CCGs and the Council.

1.3. The total CAMHS pooled budget for 2018/19 was £7,358,098; CCGs contribution was £6,549,175 and Council's contribution was £808,923 (£724,589 core and £84,334 non-recurrent).

1.4. Lincolnshire's average spend per CAMHS user in 2017/18 was £42.41 compared to the East Midlands average of £43.23. Lincolnshire's spend per head compared to its ten nearest statistical neighbours is £5.89 less (£48.10).

CAMHS Review Findings

Current CAMHS Performance

1.5. Lincolnshire has one of the highest performing CAMHS in the Country.

- 1.6. Preventative services such as Healthy Minds Lincolnshire and online counselling are resulting in lower referral rates to CAMHS locally. There are still too many young people referred to CAMHS inappropriately. The gap of support for young people with behavioural concerns who do not have a mental health concern needs to be addressed. CCGs, the Council and NHS providers have designed an improved pathway that needs investment, but is outside the scope of the CAMHS Commissioning Plan.
- 1.7. Waiting times to access CAMHS in Lincolnshire are really low. However, in order to meet the "Transforming Children and Young People's Mental Health Provision" Green Paper priority of a 4 week waiting time from referral to treatment more capacity would be needed to meet this target.
- 1.8. The complexity and length of treatment in CAMHS has increased as have caseload numbers. The CAMHS workforce needs enough capacity and skill to support complex needs. Outcomes are good; however, there should be a target to further improve this. Re-referral rates are low showing that young people are appropriately discharged and managing their concerns without needing specialist help.
- 1.9. Outcomes for eating disorder services are excellent and re-referral rates are nil, however more preventative support could be provided.
- 1.10. Children in crisis are in contact with a professional really quickly in Lincolnshire and this is reducing hospital and inpatient admissions.
- 1.11. If Health Education England continues to fund training of any new staff in Children and Young People's Improving Access to Psychological Therapies (CYP IAPT) commissioners will need to work with the provider to agree this along with funding for back-fill costs.
- 1.12. Feedback on the Peer Supporters has been excellent and this is both locally and nationally recommended to continue. This is not funded currently as part of core CAMHS contribution and CCGs need to determine if they will allocate specific additional funding to cover this.

Policy Background and Statutory Duties

- 1.13. CAMHS is meeting statutory requirements, including those specific to the Council, and the delivery model aligns to recommendations made in national policies.
- 1.14. CAMHS is used as a beacon of good practice in Ofsted inspections of Children's Services and helps clearly demonstrate how the Council is delivering against the inspection framework.
- 1.15. There are some new recommendations through the "Transforming Children and Young People's Mental Health Provision" Green Paper and NHS Long Term Plan that commissioners need to consider. There is some short term NHSE pilot funding available to trial developments but this is non-recurrent.

It is likely that some recommendations will become a target/requirement. CCGs are meant to receive additional specific funding which should be utilised to support these specific additions to CAMHS:

- Schools/College to have Designated Senior Lead for mental health and Mental Health Support Teams, supervised by NHS children and young people's mental health staff
- Four week waiting time for access to CAMHS
- Expand access to community-based mental health support
- Invest more in eating disorder services
- Access to 24/7 crisis care and greatly reduced response times
- Develop new services for children who have complex needs that are not currently being met, including sexual assault
- A new approach to young adult mental health services for people aged 18-25 will support the transition to adulthood
- Reducing admissions to inpatient units and reducing the length of stay for those that require admission.

Needs Summary

1.16. There are no specific needs that are flagged as a concern compared to other areas. However, data clearly shows that local children and young people will face a number of life challenges that make them likely to need support for their mental health. Given that 13,416 Lincolnshire young people are expected to have a diagnosable mental health condition for which you would expect them to need specialist support, only 32.9% (4,413) are in receipt of a service (including CAMHS and Healthy Minds Lincolnshire). This means crudely that 9,003 young people that need support are not accessing these core emotional wellbeing or mental health services. The target for access is 35% in 2019/20 but if commissioners want to make sure that young people that legitimately need support have access to this then there needs to be enough capacity within CAMHS and other emotional wellbeing services to deliver this.

Stakeholder Engagement Analysis

1.17. The service review has confirmed that extensive structural changes to CAMHS are not required at this time. Commissioners will ensure that the CAMHS delivery specification will be modified to include key recommendations in the Commissioning Plan that do not require further funding agreement.

Benefits of Commissioning CAMHS for Lincolnshire County Council

1.18. The Council receives a number of key benefits as a result of the current integrated commissioning and joint funding arrangements which would be at risk should either of these not continue:

- Arrangements provide strong backing to the Council in meeting its statutory duties, particularly in relation to Looked After Children (LAC), CYP open to the Youth Offending Service (YOS) and CYP with Special Educational Needs or Disabilities (SEND), and also in relation to meeting requirements under the Ofsted framework.
- Lead commissioning through the Council's Children's Services Strategic Commissioning Service has helped to secure and significantly improve CAMHS performance in Lincolnshire; it provides good value for money whilst being one of the best in the country.
- Integration has also helped to ensure that services are aligned to the Council's Public Health responsibilities around children and young people's mental health and has helped secure additional funding, particularly around health and justice.
- CAMHS provides excellent support in Lincolnshire to the Council's and wider children's workforce, including Education, Youth Offending, Early Help and Social Care, enabling them to deliver better outcomes for children and young people.

Funding for CAMHS

1.19 The table below outlines the overall budget breakdown proposals required to fund CAMHS from 2020/21:

- Core Contract Contribution has been increased to include previously non-recurrent CCG funding as well as Agenda for Change pay award from 2019/20 of £163,000*.
- Youth Offending Psychology and Speech and Language Therapy (SALT) support is funded on a non-recurrent basis through the Youth Offending Service and Health Justice Collaborative.
- From 2019/20 the Commissioning for Quality and Innovation (CQUIN) amount has been reduced from 2.5% of the CCG core contract contribution to 1.25% of the revised core contribution amount. This is reflected in the following table.

		2018/19	2020/21
1. Core Contract Contribution	Lincolnshire County Council	£724,589	£724,589
	CCGs	£4,725,398	£6,594,040
	<i>Subtotal</i>	£5,449,987	£7,318,629
1a. CQUIN Contribution		£118,135	£82,426
1b. Transformation Plan Funding		£1,441,042*	-
Total Core Contract Contribution		£7,009,164	£7,401,055
2. Additional funding	Youth Offending Nurses	£69,600*	-
	Crisis Support to LD	£195,000*	-
	Youth Offending Psychology	£84,334	-
	<i>Subtotal</i>	£348,934	-
Total CAMHS Pooled Fund		£7,358,098	£7,401,055

*Added to CCG core funding in 2020/2021

1.20 There are a number of additional innovation areas that are currently funded non-recurrently (either via the Council, NHSE or CCGs). These are not included in core funding and require further discussions between the Council, CCGs and LPFT regarding future funding/delivery:

- Peer Support Workers
- Achievement of 4 week wait target following pilot
- Youth offending psychology support
- Youth offending Speech and Language Therapy (SALT)
- Backfill of CAMHS CYP IAPT staff
- Training, backfill and supervision of Council CYP IAPT staff.

Council Funding Implications

1.21 The evidence is clear that the money the Council invests has a huge impact on children's mental health services and improving the lives of children, young people and families in Lincolnshire, particularly the most vulnerable. In a different funding climate recommendations would be for the Council to invest more in CAMHS. However, the Council is under significant financial pressure with further planned funding cuts. In the light of this it is recommended that the Council maintains the current level of core funding, but works with LPFT to find areas of efficiency to increase what this funding is used for.

Other Funding Considerations

1.22 There are a number of further developments that have been noted as part of this review and in the Commissioning Plan, which are in line with both national policy and local stakeholder feedback. It is recommended that commissioners should work together following the agreement of any forthcoming funding to identify and prioritise areas for improvement in CAMHS delivery that are aligned to the NHS Long Term Plan.

2. Legal Issues:

Section 75 National Health Service Act 2006

The Council's power to enter into the proposed agreements is contained in section 75 of the National Health Service Act 2006 and the NHS Bodies and Local Authorities Partnership Arrangements Regulations 2000 as amended.

Under the Regulations the Council can enter into the arrangements as long as they are likely to lead to an improvement in the way in which the relevant functions are exercised. The improvements that have been delivered by the existing arrangements and the future developments that would be made possible if the arrangements are continued are set out in the Report and the Commissioning Plan.

The Council and the CCGs must also consult jointly with such persons as appear to them to be affected by such arrangements. However given that this is the extension of arrangements which are currently in place and the existing provision will remain in place there are not considered to be any persons affected by the arrangements with whom consultation is required.

Equality Act 2010

Under section 149 of the Equality Act 2010, the Council must, in the exercise of its functions, have due regard to the need to:

- * Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act
- * Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it
- * Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The relevant protected characteristics are age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; and sexual orientation

Having due regard to the need to advance equality of opportunity involves having due regard, in particular, to the need to:

- * Remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic
- * Take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it
- * Encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low

The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities

Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to tackle prejudice, and promote understanding

Compliance with the duties in section 149 may involve treating some persons more favourably than others

The duty cannot be delegated and must be discharged by the decision-maker. To discharge the statutory duty the decision-maker must analyse all the relevant material with the specific statutory obligations in mind. If a risk of adverse impact is identified consideration must be given to measures to avoid that impact as part of the decision making process

An equality impact assessment has been undertaken as part of this review of CAMHS and is attached as Appendix B. This will continue to be modified as required so that it remains up to date with developments. Given this commissioning plan does not propose significant changes to existing arrangements, there are no significant adverse impacts envisaged.

Joint Strategic Needs Analysis (JSNA) and the Joint Health and Wellbeing Strategy (JHWS)

The Council must have regard to the Joint Strategic Needs Assessment (JSNA) and the Joint Health & Well Being Strategy (JHWS) in coming to a decision

Mental Health (Children and Young People) is a priority in Lincolnshire's JHWS:

- Building emotional resilience and positive mental health
- Taking action on wider determinants and their impact on mental health and emotional wellbeing
- Better understanding of self-harm/suicidal intent in young people
- Greater parity between mental health and physical health
- Ensuring that CYP have timely access to appropriate crisis support
- Supporting families of young people with mental health needs
- Ensuring appropriate support is in place for pupils with SEND.

In addition, key interdependencies have been highlighted between this priority and Mental Health (Adults), Physical Activity and (Young) Carers.

In respect to the JSNA topic, there is a well evidenced need for the support provided by CAMHS which is evidenced in the Commissioning Plan.

Crime and Disorder

Under section 17 of the Crime and Disorder Act 1998, the Council must exercise its various functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it reasonably can to prevent crime and disorder in its area (including anti-social and other behaviour adversely affecting the local environment), the misuse of drugs, alcohol and other substances in its area and re-offending in its area

Specialist support is provided through CAMHS for high risk young people with complex needs (Community Forensic CAMHS); Psychologists and Speech and Language Therapists support the complex needs of young people in the justice systems, who do not meet standard diagnostic criteria, to improve pathways between local services and reduce out of area placements and reliance on admission to secure care.

3. Conclusion

- 3.1. The recommended commissioning option is to enter into two section 75 agreements with CCGs and LPFT from 1 April 2020 onwards to continue existing arrangements for CAMHS. The recommended duration for those arrangements is five years with the detailed terms of the Agreements to be determined by the Interim Director of Education under the delegated authority set out in recommendation 4.
- 3.2. It is recommended that commissioners and LPFT work together to modify or develop accordingly the CAMHS delivery specification which should be operational from 1 April 2020.

4. Legal Comments:

The Council has the power to enter into the Agreements proposed. The Agreements can properly be considered to be a public-public collaboration under Regulation 12(7) of the Public Contracts Regulations 2015. As such they do not need to be subject to a competitive procurement process. The decision is consistent with the Policy Framework and within the remit of the Executive.

5. Resource Comments:

The recommendation in the report to approve entering into a section 75 agreement of the National Health Service Act 2006 with LPFT to deliver the functions of the Council in relation to CAMHS alongside relevant NHS functions will ensure the continuation of existing services with no disruption to service users, and the Commissioning Plan identified little evidence of scope within the marketplace.

Funding of £724,589 is met from existing base budget within the Council. This funding is pooled with the CCG contribution of £6,549,175.

Value for money is being achieved by the current contract through a high performing CAMHS service, and benchmarking data shows average spending below comparable neighbours. There are areas of continuous improvement identified, which will be developed in the formalisation of the service specification.

The decision of the CCG funding going forward, notably the additional service requirements, will impact the final CAMHS offer, therefore CCG funding intentions will be important to understand and formalise.

6. Consultation

a) Has Local Member Been Consulted?

n/a

b) Has Executive Councillor Been Consulted?

Yes

c) Scrutiny Comments

On 7 June 2019, the Children and Young People Scrutiny Committee considered this report and supported the four recommendations to the Executive.

During its consideration, the Committee discussed the following points: -

- Council Funding Implications (*paragraph 1.21 of main report*) - The Committee was reassured that there were strong relationships between the Council and LPFT, including challenge of the latter by the Council on how the Trust used the funding which they received.
- Clinical Commissioning Groups – The anticipated consolidation of the four Lincolnshire CCGs into one CCG was unlikely to affect future CCG funding levels and the CCG commitment to CAMHS. This is reinforced by the commitment in the *NHS Long Term Plan* that funding for children and young people's mental health services would grow faster than overall NHS funding (*Section 3.3 of CAMHS Commissioning Plan – Policy Background and Statutory Duties*)
- Emotional Wellbeing in Schools – Schools were supported by services such as *Healthy Minds Lincolnshire* and *Mobilise (Emotional Health and Wellbeing)*. In addition, Ofsted, as part of its new inspection framework (effective from September 2019), would be seeking evidence from schools on how they provided pastoral support. The 'off-rolling' of pupils will also be considered under the new Ofsted framework. Schools found to be 'off-rolling' pupils will see an impact on their overall Ofsted rating.
- Mental Health Support Teams in Schools – The Council has submitted a 'trailblazer' bid to NHS England for funding to establish *Mental Health Support Teams in Schools*, which would act as a link between pupils and young people's mental health services.
- Emotional Wellbeing and Mental Health Strategy (*Section 1 of CAMHS Commissioning Plan - Introduction*) - This strategy was being developed and would be finalised in the coming months.
- Domestic Abuse Data (*Section 3.3 of CAMHS Commissioning Plan – Needs Summary*) – There was reassurance that although data on domestic abuse had not been included in the *Needs Summary*, it was available and had been taken into account in the commissioning process.

d) Have Risks and Impact Analysis been carried out?

Yes

e) Risks and Impact Analysis

Risks are included as part of the Commissioning Options Analysis in the attached Commissioning Plan.

An equality impact assessment has been undertaken and is attached at Appendix B. This will continue to be modified as required so that it remains up to date with developments. Given this commissioning plan does not propose significant changes to existing arrangements, there are no significant adverse impacts envisaged.

7. Appendices

These are listed below and attached at the back of the report	
Appendix A	CAMHS Commissioning Plan CYPSC
Appendix B	CAMHS Review Equality Impact Assessment

8. Background Papers

No Background Papers within the meaning of section 100D of the Local Government Act 1972 were used in the preparation of this Report.

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Commissioning Plan

Child and Adolescent Mental Health Services (CAMHS)

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1. Introduction

In Lincolnshire, Clinical Commissioning Groups (CCGs) and Lincolnshire County Council (LCC) Children's Services jointly fund and commission Child and Adolescent Mental Health Services (CAMHS). CAMHS is currently provided by Lincolnshire Partnership NHS Foundation Trust (LPFT).

The annual CAMHS agreement value for 2018/19 is £7,358,098. The current agreement is due to expire on 31st March 2020 and commissioners need to agree the future commissioning arrangements for CAMHS.

Children's mental health services are an increasing focus of government policy and are a specific priority in the NHS Long Term Plan. CCGs are due to receive increased funding to improve access to children and young people's mental health services.

There is no standard delivery model for CAMHS in England; however commissioners must ensure that CAMHS is developed in line with emerging policy as well as local need.

A commissioning review of CAMHS in Lincolnshire commenced in April 2018. The review considered local and national policy requirements, local need and feedback from CAMHS users/professionals, the performance of the existing CAMHS provision, a comparison against CAMHS in other areas and the supplier market. This Commissioning Plan provides the overview of key findings.

Aim of the Commissioning Plan

To inform decision makers of:

- The key findings of the CAMHS review
- Recommended changes to CAMHS in Lincolnshire
- How much funding is required
- The best route for commissioning CAMHS in the future.

Lincolnshire's Emotional Wellbeing and Mental Health Strategy is due to be published in summer 2019. CAMHS is a key part of the local support offer that will help to successfully deliver this strategy. All recommendations made as part of the CAMHS review are in line with the proposed Strategy.

CAMHS has been reviewed separately to other local services that sit under the overarching umbrella of emotional wellbeing and mental health services, including online counselling, Healthy Minds Lincolnshire, Behaviour Outreach Support Service etc. These services are likely to require further review in due course but CAMHS review recommendations that have interdependency with these services are being considered and acted upon.

2. Current Commissioning Arrangements

There are currently two contractual arrangements in place that relate to the commissioning of CAMHS both of which expire 31st March 2020.

- i) An agreement (made under Section 75 of the NHS Act 2006) between the Council and Lincolnshire CCGs. This agreement allows funding for CAMHS to be pooled and delegates lead commissioning responsibility to the Council.
- ii) An agreement (made under Section 75 of the NHS Act 2006) between the Council and LPFT under which LPFT exercises the Council's functions in the areas of specialist CAMHS and a range of related children's services which are the responsibility of the CCGs and the Council.

There is an option to extend the agreement with LPFT to 31st March 2021 but this would require approval from the Council's Executive and the CCGs. Commissioning options are further explored in Section 4.

The pooled budget for 2018/19 is set out below in more detail:

		2018/19
1. Core Contract Contribution	Lincolnshire County Council	£724,589
	Lincolnshire East CCG	£1,641,604
	Lincolnshire West CCG	£1,369,338
	South Lincolnshire CCG	£937,143
	South West Lincolnshire CCG	£777,313
	<i>Subtotal</i>	£5,449,987
1a. Commissioning for Quality and Innovation (CQUIN) Contribution	Lincolnshire East CCG	£41,040
	Lincolnshire West CCG	£34,233
	South Lincolnshire CCG	£23,429
	South West Lincolnshire CCG	£19,433
	<i>Subtotal</i>	£118,135
1b. Transformation Plan Funding	Lincolnshire East CCG	£493,154
	Lincolnshire West CCG	£419,499
	South Lincolnshire CCG	£294,994
	South West Lincolnshire CCG	£233,395
	<i>Subtotal</i>	£1,441,042
Total Core Contract Contribution		£7,009,164
2. Additional funding¹	Youth Offending Nurses	£69,600
	Crisis Support to LD	£195,000
	Youth Offending Psychology	£84,334
	<i>Subtotal</i>	£348,934
Total CAMHS Pooled Fund		£7,358,098
CCGs contribution to CAMHS		£6,549,175
Lincolnshire County Council contribution to CAMHS		£808,923
TOTAL		£7,358,098

Lincolnshire's average spend per CAMHS user in 2017/18 was £42.41 compared to the East Midlands average of £43.23. Lincolnshire's spend per head compared to its ten nearest statistical neighbours is £5.89 less.

¹ Current additional funding streams include the Council's Children's Services, the Better Care Fund and the Future In Mind (FIM) uplift for implementing the transformational requirements of the Five Year Forward Plan.

3. CAMHS Review Findings

3.1 Current CAMHS Performance

CAMHS in Lincolnshire is rated as "Outstanding" by the Care Quality Commission (CQC). Only four specialist community CAMHS nationally have this rating (2017).

CAMHS in Lincolnshire consists of the following three main areas of provision:

- i. **Core CAMHS** – direct intervention including 1:1 support, group intervention and self-help delivered by a range of professionals such as mental health nurses, psychiatrists, and psychologists. Treatment is for moderate to severe concerns including but not limited to depression, anxiety, post-traumatic stress disorder, trauma, self-harm. Young people are supported to transition to Adult Mental Health Services as appropriate.
- ii. **Community Eating Disorder Service (EDS)** – direct interventions for children and young people with Anorexia Nervosa, Bulimia, binge eating and atypical eating disorders. 24 hour care is provided by the Crisis and Home Treatment Service.
- iii. **CAMHS Crisis and Home Treatment Service (CHTS)** – 24/7 intensive home treatment for children and young people in crisis to prevent inpatient admissions or support young people coming out of inpatient services. There is also a specialist working in CHTS for children and young people with Learning Disabilities.

Other key aspect of CAMHS for noting:

- **Single Point of Access (SPA)** – a single contact number for all CAMHS referrals.
- **Training and support to professionals** – professionals can get support to enable them to help children and young people on the cusp of needing CAMHS. This includes a Professional Advice Line (PAL), consultation clinics and training for staff working in universal services.
- **Vulnerable Groups** – children and young people that needs access to CAMHS but are from particularly vulnerable groups e.g. looked after children (LAC), learning disability (LD) and young offenders are seen within the areas of support set out above but have reduced waiting time targets and there are professionals that specialise their support to these vulnerable groups e.g. Youth Offending Nurses.
- **Children and Young People's Improving Access to Psychological Therapies Programme (CYP IAPT)** – this is not a stand-alone service but IAPT principles (a culture of full collaboration between children, young person and/or their parent or carer) are embedded throughout all areas of CAMHS. NHS England (NHSE) and Health Education England (HEE) are overseeing the roll out of CYP IAPT and have funded training of professionals. This funding has now ceased because there is an expectation that this approach is embedded in CAMHS. Health Education England is considering if they will fund new courses but backfill of staffing will be funded locally.
- **Peer Supporters** – these are young people with first-hand experience of CAMHS who provide current CAMHS users with peer mentoring. Peer supporters are trained employees, paid a wage and are clinically supervised so that they can work directly with CAMHS users, particularly those who are disengaged with CAMHS professionals to encourage them to take up support. This has been funded from previous non-recurrent underspend and is not part of core funding.
- **Specialist CAMHS for High Risk Young People with Complex Needs (Community Forensic CAMHS)** – Psychologists and Speech and Language Therapists support the complex needs of young people in the justice system, who do not meet standard diagnostic criteria, to improve pathways between local services and reduce out of area placements and reliance on admission to secure care. This is currently funded on a non-recurrent basis through Children's Services (£84,334) and also the NHS health and justice collaborative are providing funding until 31st March 2020 for posts and this is not part of core funding.

Performance

In 2018/19 (Q1-3):

i. Core CAMHS

- There was an average of 124 calls per month to the PAL.
- 3,239 children and young people (CYP) were referred to CAMHS a 6% decrease from the same time period in 2017/8. Nationally, there was a 13% increase from (16/17-17/18) in the numbers of referrals to CAMHS compared to a 3% increase in Lincolnshire for the same time period. Lincolnshire has not seen this sharp rise and this is likely to be attributed to preventative services including Health Minds Lincolnshire and online counselling.
- 75% of referrals went on to receive an intervention from CAMHS. 25% of referrals were inappropriate of which 9% were then seen by Healthy Minds Lincolnshire. 16% of referrals were not accepted by either CAMHS or HML and signposted for other support. Inappropriate referrals are mainly attributed to poor quality referrals lacking enough information and children not meeting appropriate thresholds. There is also a known gap in provision for children with behaviour based concerns that do not have a diagnosable mental illness. These referrals are still being sent to CAMHS but CAMHS are not commissioned to provide this support.
- The statutory national waiting time target is 18 weeks from referral to assessment and a further 18 weeks from assessment to treatment. 88% of CYP in Lincolnshire were seen for assessment within 6 weeks.
- The average waiting time from referral to assessment in Lincolnshire is 2.6 weeks compared to the national average of 9 weeks.
- The average waiting time from referral to treatment in Lincolnshire is 8.4 weeks compared to the national average of 13 weeks.
- Caseloads in Lincolnshire have increased by 15% in 12 months compared to the national average of 5%. However, there has been a 20% reduction in discharges in the same time period. CAMHS are seeing more complex cases and needing to work for longer with these young people. The average number of appointments is 10 per CAMHS user.
- There were 98 CYP known to the youth offending service (YOS), 38 Learning Disability, and 63 Looked After Children accepted referrals to CAMHS.
- At December 2018, 58.5% of the current caseload was reporting a reliable positive change in their mental health outcome (Child Outcomes Rating Scale (CORS)). This is above the current national baseline of 50%.
- Friends and Family Test results for Q3 2018/19 show that 85% of respondents were extremely likely or likely to recommend CAMHS.
- The re-referral rate for CYP is only 6% suggesting that discharge is appropriate and CYP are managing their needs well post treatment.

ii. Eating Disorder Service (EDS)

- There were 37 accepted referrals and 100% were seen in 2 weeks for assessment. 100% of 'urgent' or 'emergency' referrals relating to eating disorder were assessed within 2 hours.
- The average number of appointments is 21 per CAMHS user.
- At December 2018, 100% of the current caseload was reporting a reliable positive change in their mental health outcome (CORS).
- There have been no re-referrals CYP with an eating disorder suggesting that discharge is appropriate and CYP are managing their needs well post treatment.

iii. Crisis and Home Treatment Service (CHTS)

- There has been a 53% reduction in paediatric admissions reported by United Lincolnshire Hospitals Trust as a direct result of CYP being able to directly access the CHTS since it was first introduced in 2016.
- 90% of CYP received an emergency telephone response within 4 hours. This is above the current national comparison of 83%. The average wait was 1.7 hours compared to the national wait of 11 hours.
- 88% of CYP received an 'emergency' face to face response within 24 hours.
- 75% of CYP received an 'urgent face' to face response within 72 hours.
- There has been an 11% reduction in Lincolnshire CYP needing inpatient support. 37 Lincolnshire young people were admitted to inpatient facilities in 2017/18. 14 were in local facilities. There has been a 34% reduction in the average length of stay for Lincolnshire young people in the local inpatient facility because they can be better supported at home by the CHTS.

Summary of Key Findings

- Lincolnshire has one of the highest performing CAMHS in the Country.
- Preventative services such as Healthy Minds Lincolnshire and online counselling are resulting in lower referral rates to CAMHS locally. There are still too many young people referred to CAMHS inappropriately. The gap of support for young people with behavioural concerns who don't have a mental health concern needs to be addressed. CCGs, the Council and NHS providers have designed an improved pathway that needs investment, but is outside the scope of this plan.
- Waiting times to access CAMHS in Lincolnshire are really low. However, in order to meet the Green Paper priority (see section 3.2) of a 4 week waiting time from referral to treatment more capacity would be needed to meet this target.
- The complexity and length of treatment in CAMHS has increased as have caseload numbers. The CAMHS workforce needs enough capacity and skill to support complex needs. Outcomes are good; however, there should be a target to further improve this. Re-referral rates are low showing that young people are appropriately discharged and managing their concerns without needing specialist help.
- Outcomes for eating disorder services are excellent and re-referral rates are nil, however more preventative support could be provided.
- Children in crisis are in contact with a professional really quickly in Lincolnshire and this is reducing hospital and inpatient admissions.
- If Health Education England continues to fund training of any new staff in CYP Improving Access to Psychological Therapies (IAPT) commissioners will need to work with the provider to agree this along with funding for back-fill costs.
- Feedback on the Peer Supporters has been excellent and this is both locally and nationally recommended to continue. This is not funded currently as part of core CAMHS contribution and CCGs need to determine if they will allocate specific additional funding to cover this.

3.2 Policy Background and Statutory Duties

Legislation

The legislation which relates to children and young people's mental health is complex. Different laws apply, depending on the age, competence and capacity of the child or young person. The commissioning of CAMHS must therefore have regard to the following:

- the Children Act 1989 and 2004
- the Mental Capacity Act 2005
- the Mental Health Act 1983 (as amended in 2007)
- the Health and Social Care Act 2012
- the Crime and Disorder Act 1989
- the Equality Act 2010.

There are a number of specific statutory duties for the Council in relation to ensuring it meets the welfare needs of key groups of vulnerable children and young people:

- The Children Act 1989 Section 17(1) imposes a general duty on local authorities to safeguard and promote the welfare of children in need in their area and so far as is consistent with that duty to promote the upbringing of children by their families by providing a range and level of services appropriate to those children's needs.
- The Children Act 1989 Section 22 as amended by Section 52 of the Children Act 2004 places duties on local authorities in relation to looked after children (LAC), including the duty to safeguard and promote their welfare.
- The Children Act 1989 Sections 62 and 64 ensure that the welfare of children in voluntary and private children's homes in their area is being safeguarded.
- The Mental Health Act 1983 Sections 114 and 145 requires Local Social Service Authorities to authorise approved mental health professionals (AMHPs) to act on their behalf.
- The Crime and Disorder Act 1989 Section 38 places a duty on Local Authorities to secure that youth justice services are available in their area, including provision of support for children and young persons remanded or committed.
- The Children Act 2004 Section 11 also covers the Local Authorities duty to make arrangements to promote safeguarding and welfare of children in the youth justice system.
- The Children and Families Act 2014 places a duty on Local Authorities and health bodies to work in partnership when commissioning provision for children and young people with SEND.

Ofsted

Children's Services is inspected by Ofsted on specific requirements. The inspection Framework assesses the following areas in relation to children's mental health, that:

- Children in care and care leavers are in good physical and mental health, or are being helped to improve their health. Their health needs are identified and met.
- Care leavers develop the skills and confidence they need to maximise their chances of successful maturity to adulthood, including parenthood. Care leavers have trusted relationships with carers and staff from the local authority and develop supportive relationships within the community, including with family and friends. They receive the right level of practical, emotional and financial support until they are at least 21 and, when necessary, until they are 25.
- The Council uses its local Child and Adolescent Mental Health Service (CAMHS) strategy, any associated action plan and recent, relevant management information, including length of waiting time, average length of help offered and any outcome information routinely collected to manage its services for children in care and care leavers.

Previous Policy Background

- A landmark review carried out by the NHS Health Advisory Service in 1995, highlighted problems in the provision of care and support to children and young people experiencing poor mental health.
- *Together We Stand* provided the first coherent UK governance policy on CAMHS and proposed a tiered model spanning the spectrum of need from prevention and early intervention delivered by non-mental health specialists to specialised inpatient care.
- *No Health without Mental Health* (2011) pledged to provide early support for mental health problems, driving “parity of esteem” between physical and mental health.
- *Closing the Gap: priorities for essential change in mental health* (2014) included actions such as improving access to psychological therapies for CYP.
- The Department of Health and NHS England established a Children and Young People’s Mental Health and Wellbeing Taskforce which reported in March 2015 (*Future in Mind*) and set out ambitions for improving care over the next five years:
 - Promoting resilience, prevention and early intervention
 - Improving access to effective support
 - Care for the most vulnerable
 - Accountability and transparency
 - Developing the workforce.
- The 2015-2017 Government announced new funding for mental health, including specific investment in perinatal services and eating disorder services for teenagers.

Latest National Policy

- The *Five Year Forward View for Mental Health (FYFVMH)* (February 2016), included specific objectives to improve treatment for children and young people by 2020/21:
 - Significant expansion in access to high-quality CYP mental health care
 - 70,000 additional children and young people each year will receive evidence-based treatment – significant expansion of the workforce
 - At least 1,700 more therapists and supervisors will need to be trained and employed to meet this need, as well as retaining existing staff
 - All localities should ensure a highly skilled workforce by working with the existing CYP IAPT programme
 - By 2018, all services should be working within the CYP IAPT programme, leading to at least 3,400 staff being trained by 2020/21 in addition to the additional therapists above.
- The *Policing and Crime Act* (2017) included provision to end the practice of children and young people being kept in police cells as a “place of safety”.
- A *Green Paper* on children and young people’s mental health was published for consultation in December 2017, which set out measures to improve mental health support, in particular through schools and colleges. It made three key proposals.
 - To incentivise and support all schools and colleges to identify and train a Designated Senior Lead for mental health
 - To fund new Mental Health Support Teams, supervised by NHS children and young people’s mental health staff
 - To pilot a four week waiting time for access to specialist NHS children and young people’s mental health services.
- The Government’s response to the consultation, published in July 2018, committed to trial the three key proposals in the Green Paper by the end of 2019.
- The Government announced the introduction of statutory health education in July 2018. Draft statutory guidance sets out proposed requirements for RSE and health education and is intended to come into force in September 2020.

- Under *the NHS Long Term Plan*, the NHS is making a new commitment that funding for children and young people’s mental health services will grow faster than overall NHS funding, total mental health spending and each CCGs spend on mental health:
 - Continue to invest in expanding access to community-based mental health services to meet the needs of all children and young people needing support
 - Boost investment in children and young people’s eating disorder services
 - All children and young people experiencing a mental health crisis will be able to access crisis care 24 hours a day, seven days a week
 - Mental health support for children and young people will be embedded in schools and colleges through Mental Health Support Teams
 - Develop new services for children who have complex needs that are not currently being met, including those experiencing sexual assault
 - A new approach to young adult mental health services for people aged 18-25 will support the transition to adulthood.

Local Priorities

Children’s mental health is a local priority identified in a number of strategies. These are being brought together as part of a Lincolnshire Emotional Wellbeing and Mental Health Strategy.

- One of the key themes of Lincolnshire’s Sustainability and Transformation Partnership (STP) for children and young people’s mental health, learning disability and autism is supporting the implementation of the *Five Year Forward View of Mental Health*, including increased perinatal maternal mental health support and suicide prevention.
- The Council’s Children’s Services commissioning priorities include supporting children to reach their potential by ensuring that they are safe and healthy, ready for school (including emotionally ready), and ready for adult life.
- One of the Health and Wellbeing Strategy priorities is the mental health and emotional wellbeing of children and young people:
 - Building emotional resilience and positive mental health
 - Taking action on wider determinants and their impact on mental health and emotional wellbeing
 - Better understanding of self-harm/suicidal intent in young people
 - Greater parity between mental health and physical health
 - Ensuring that CYP have timely access to appropriate crisis support
 - Supporting families of young people with mental health needs
 - Ensuring appropriate support is in place for pupils with SEND.
- The Public Health 5 Year Plan and Children’s Public Health Priorities seek to ensure that children and young people feel happy, stay safe from harm and make good choices about their lives, particularly children who are vulnerable, by improving children and young people’s ability to develop healthy relationships, including sexual relationships and building their self-esteem, mental wellbeing and resilience.
- Lincolnshire’s Future in Mind Steering Group priorities are to:
 - Support the reduction in out-of-area placements
 - Transform community mental health support as part of the wider Integrated Neighbourhood Working programme
 - Secure recurrent investment in the children and young people’s pathway for mental health conditions.
- One of the priorities in the draft CCG Integrated Children and Young People’s Health Strategy for Lincolnshire is around preventing avoidable admissions for children who are mild to moderately acutely unwell, including those with mental ill health.

Lincolnshire's Emotional Wellbeing and Mental Health (EWMH) Strategy

A Lincolnshire EWMH Strategy for CYP is currently being developed that will bring more joined up thinking across the whole EWMH 'spectrum' with the aim that "everyone works together to support all children, young people and families to be happy, healthy, safe and the best they can be in a 'mentally healthy' Lincolnshire".

Emerging priorities for the Strategy place the focus for these mental health services on:

- Enhancing universal support to parents/carers, to identify risk factors early and provide effective support to empower and improve their ability to meet their child's needs that may have otherwise led to emotional wellbeing and mental health needs later in life
- Recognising that schools play a key role in promoting emotional wellbeing and mental health, and the impact this has on behaviour and learning should be realised
- Improving access to a range of support through an integrated education, health and care 'partnership' that manages referrals, assessments and wrap around support
- Identifying and providing effective workforce development opportunities, to move towards more of a community prevention and early intervention approach that is able to build and promote resilience and identifying problems early; but also making sure that when support is needed, it is effective.

Summary of Key Findings

- CAMHS is meeting statutory requirements, including those specific to the Council, and the delivery model aligns to recommendations made in national policies.
- CAMHS is used as a beacon of good practice in Ofsted inspections of Children's Services and helps clearly demonstrate how the Council is delivering against the inspection framework.
- There are some new recommendations through the Green Paper and NHS Long Term Plan that commissioners need to consider. There is some short term NHSE pilot funding available to trial developments but this is non-recurrent. It is likely that some recommendations will become a target/requirement. CCGs are meant to receive additional specific funding which should be utilised to support these specific additions to CAMHS:
 - Schools/College to have Designated Senior Lead for mental health and Mental Health Support Teams, supervised by NHS children and young people's mental health staff
 - Four week waiting time for access to CAMHS
 - Expand access to community-based mental health support
 - Invest more in eating disorder services
 - Access to 24/7 crisis care and greatly reduced response times
 - Develop new services for children who have complex needs that are not currently being met, including sexual assault
 - A new approach to young adult mental health services for people aged 18-25 will support the transition to adulthood
 - Reducing admissions to inpatient units and reducing the length of stay for those that require admission.

3.3 Needs Summary

- There are currently an estimated 159,658 children and young people (CYP) aged 0-19 in Lincolnshire (2015 population estimates).
- NHS England's prevalence rate for 2019/20 estimates that 13,416 0-18 years old in Lincolnshire will have a diagnosable mental health condition this year. 32.9% currently access CAMHS (32% Future in Mind target 18/19).
- Based on prevalence data an estimated:
 - 47.4% have experienced a stressful life event e.g. bereavement or illness
 - 23.6% have experienced a family or relationship breakdown
 - 0.6% 11-16 year olds have an eating disorder
 - 21.2% have experienced cyber bullying
 - 36.2% have been bullied
 - 23% do not participate in any kind of club or organisation
 - 18.4% are carers
 - 45.7% of gay/lesbian/bisexual young people self-harm
 - 6.7% of boys report low-life satisfaction
 - 15% of girls report low-life satisfaction
 - 15.7% say likes/shares on social media affect their mood
 - 79.1% use social media every day
 - 34% of 17-19 year olds use illicit drugs
 - 7.4% of 16-17 year olds are NEET
 - 21.5% of girls have self-harmed
 - 9.7% of boys have self-harmed
- 2.29% of Lincolnshire pupils have social, emotional and mental health needs (2018 census)
- For every 10,000 CYP 239 are Children In Need and 16 are Looked After Children due to abuse or neglect (2018)
- 21% 10-11 year olds are obese (2017/18 National Child Measurement Programme)
- In 2016/17 99 CYP were admitted to hospital due to mental health conditions (68.9 per 100,000 population). This is 18% lower than the national rate.
- In 2016/17 237 CYP aged 10-19 were admitted to hospital due to self-harm. For 10-14 year olds this has reduced by 42% from 15/16. National rates have increased and are 25% higher than Lincolnshire. For 15-19 year olds this has reduced by 29% from 15/16. National rates are 38% higher than in Lincolnshire. Rates for 15 years olds have been the highest out of any age group and 4/5 admissions 10-19 were females.
- There were 6 suicide deaths of CYP aged 15-19 2014-2016; the majority were male.

Summary of Key Findings

- There are no specific needs that are flagged as a concern compared to other areas. However, data clearly shows that local children and young people will face a number of life challenges that make them likely to need support for their mental health. Given that 13,416 Lincolnshire young people are expected to have a diagnosable mental health condition for which you would expect them to need specialist support, only 32.9% (4,413) are in receipt of a service (including CAMHS and Healthy Minds Lincolnshire). This means crudely that 9,003 young people that need support are not accessing these core emotional wellbeing or mental health services. The target for access is 35% in 2019/20 but if commissioners want to make sure that young people that legitimately need support have access to this then there needs to be enough capacity within CAMHS and other emotional wellbeing services to deliver this.

3.4 Stakeholder Engagement Analysis

The extensive feedback collected from the engagement activity has been collated into a detailed Stakeholder Engagement Report, which is available upon request.

The engagement activity has shown that there has been a clear shift in stakeholder satisfaction levels since the last service review; the satisfaction levels for the service are far higher qualitatively and quantitatively than in 2015.

Given the volume of qualitative and quantitative feedback collected, the following summary table is focused on where consensus was identifiable.

CAMHS aspect	Key themes from Stakeholders	Recommendation
Professional Advice Line (PAL)	<ul style="list-style-type: none"> Valued resource in up-skilling the universal workforce, reducing inappropriate referrals whilst ensuring that children and young people (CYP) with mental health concerns are supported by the most appropriate service. 	<ul style="list-style-type: none"> Ensure PAL remains part of core CAMHS.
Routine referral processes	<ul style="list-style-type: none"> Satisfaction rates of 87% for efficiency and clarity of the referral process, however some frustration still reported with referrals for ASD/ADHD. Criteria and thresholds for support need to be revisited and more clearly and consistently applied. 	<ul style="list-style-type: none"> Include ability to self-refer to CAMHS in future pathway. Review thresholds to improve access for CYP with co-morbid presentation of mental health concerns and ASD/ADHD.
Access to routine appointments	<ul style="list-style-type: none"> Increased flexibility in appointment times needed including evening and weekend. 	<ul style="list-style-type: none"> Fund extra staffing capacity so that more people can be seen out of normal working hours.
Treatment venues	<ul style="list-style-type: none"> Increased delivery in outreach venues including schools, colleges, GP and home treatment for those too anxious or physically unable to attend clinics. Venues need to be more "child and young person friendly" and not shared with adult service users. 	<ul style="list-style-type: none"> Fund extra staffing capacity so that more people can be seen in different venues across the county.
Therapeutic offer and patient outcomes	<ul style="list-style-type: none"> More access to family therapy. Use digital platforms (e.g. Skype) for therapeutic interventions. Increase the treatment offer for attachment disorders. Increase the integration of CAMHS and Healthy Minds Lincolnshire to provide more fluidity of support or a 'One Route' offer to better meet the needs of children and young people. 	<ul style="list-style-type: none"> Ensure a digital treatment offer is developed. Consider a single front door to access mental health and emotional wellbeing services.

CAMHS aspect	Key themes from Stakeholders	Recommendation
Priority groups (e.g. LAC, LD, YOS)	<ul style="list-style-type: none"> Additional vulnerable groups to have consideration for priority; those with significant risk factors e.g. those outside mainstream education, young carers, substance misuse (directly or in households where this takes place). 	<ul style="list-style-type: none"> CAMHS needs to respond to those with greatest severity of need. It is not recommended to keep adding different waiting times for more groups. The 4 week waiting time target should mean all young people are seen quickly and those with greatest need are seen sooner.
Crisis and Home Treatment (CHTS)	<ul style="list-style-type: none"> Stakeholders value the CHTS highly. They want to see increased use of models of care in the community and access to more home based treatment routes rather than acute clinical settings. Out of hours services provided need to be improved so that they are staffed 24/7 and not an on-call arrangement. 	<ul style="list-style-type: none"> Commit to continue core funding of CHTS and utilise any funding that the provider gets directly from NHSE to enhance the CHTS offer.
Eating Disorder Service (EDS)	<ul style="list-style-type: none"> More prevention and early intervention support. Further strengthen the family dynamics therapy offer. Widen the scope of ED support to include those with obesity issues. 	<ul style="list-style-type: none"> Train universal workforce to develop appropriate early recognition and intervention. Co-location of ED with Community CAMHS to promote further integration of community outreach support.
Learning Disability	<ul style="list-style-type: none"> Increase number of specialist LD clinicians as the provision is currently felt to be under-resourced. Improve the way targeted services for CYP with LD are provided for within CAMHS and wider service pathways. Increase specialist knowledge within LD to provide tailored support to service users with ASD/ADHD and mental health needs. 	<ul style="list-style-type: none"> Fund extra LD clinicians so there is at least one specialist clinician per team. Ensure all LD clinicians and other relevant staff have specialist training in Autism.
Participation and engagement (Peer Supporters)	<ul style="list-style-type: none"> Make Peer Supporters a core funded element of CAMHS. Increase the number of Peer Supporters so they can work in schools to deliver groups, mental health awareness within school population as well as direct work with young people. Ensure that Peer Supporters reflect the wide range of presenting needs and population characteristics of CYP. 	<ul style="list-style-type: none"> Fund Peer Supporters as part of core CAMHS. Increase funding to enable more capacity to expand their remit.
Information and promotional resources (awareness of CAMHS)	<ul style="list-style-type: none"> Further develop the meaningful engagement of CYP in the co-production of information and resources. Increased use of digital platforms to raise awareness of and reduce stigma around mental health conditions. 	<ul style="list-style-type: none"> Ensure this becomes part of the new specification.

CAMHS aspect	Key themes from Stakeholders	Recommendation
Workforce development	<ul style="list-style-type: none"> • More training (accredited/non-accredited) to all relevant professionals to develop their ability to directly support CYP with mental health needs. • Continue to train more of the workforce in CAMHS and other relevant front line professionals in CYP IAPT. • Explore how CAMHS can work with schools to support the up-skilling of staff to become designated mental health leads and assist schools and colleges in the county to meet the government's 2025 target. 	<ul style="list-style-type: none"> • Develop a clear workforce strategy that sets out what training professionals need to undertake in Lincolnshire across the whole CYP workforce. • Ensure the specification clearly defines what training CAMHS need to deliver to the wider workforce.
Transitions between CAMHS and AMHS	<ul style="list-style-type: none"> • Current transitional arrangements between the two services need revisiting. • Age range for CAMHS should be aligned with other statutory education and Children's Health services in the county i.e. up to 19 years. • A specific young adults' moderate to severe mental health service should be commissioned to address the specific needs of this age group (16-24) offering something between CYP IAPT and the Adult IAPT approach (Recovery College type model). 	<ul style="list-style-type: none"> • Consider if and how Lincolnshire could shift funding from AMHS to CAMHS to make the service available to those up to age 19 if commissioners determine this is their preferred approach. Also to consider if a specific 19-25 service should be commissioned.

Summary of Key Findings

- The service review has confirmed that extensive structural changes to the CAMHS service are not required at this time.
- Commissioners will ensure that the CAMHS delivery specification will be modified to include key recommendations above that do not require further funding agreement (funding decisions are set out below).

3.5 Benefits of Commissioning CAMHS for Lincolnshire County Council

The Council, as a whole, makes a vital contribution to promoting and supporting good mental health in individuals and communities through:

- System-wide leadership which recognises that mental health of children and young people is a priority for all of us and cannot be tackled by any organisation working in isolation
- Public Health responsibilities to promote mental wellbeing and prevent poor mental health throughout the life course
- The overview and scrutiny of mental health provision.

The delegation of lead commissioning responsibility for CAMHS in Lincolnshire to the Council's Children's Services brings with it a number of key benefits:

- Under the lead commissioning of the Council, CAMHS has been significantly developed and improved to the point that it is now one of the best CAMHS services in the country whilst having a lower than average spend per head demonstrating good value for money. The Council has worked intensively with LPFT to improve and influence the service; targeting services that have the most impact on the children for which the Council is responsible. If the Council reduces funding to CAMHS there is a high risk that it won't continue to be delegated lead commissioning responsibility and this would mean the Council's influence would diminish. The Council has driven a clear early intervention and prevention agenda and losing this focus will undoubtedly have a wider impact on children and young people's mental health outcomes.
- The Council has driven continuous improvement in CAMHS by bidding for additional funding for pilot projects which has again improved services available for children and young people, recent examples include:
 - £200,000 one-off funding from NHS England (NHSE) was secured to fund the '4 Week Wait' pilot in 2019/20
 - £400,000 funding from NHSE and the Ministry of Justice to provide additional clinical support for children and young people open to YOS/Futures4Me until 2021.
 - The Council is bidding to NHSE to deliver the national pilot of Mental Health Support Teams in Schools, which would further strengthen the integration between CAMHS and education settings in Lincolnshire.
- The Council has led an integrated approach to CAMHS between education, health and care services and has been able to directly shape services to meet its specific duties around LAC and care leavers, those in the youth offending justice system (YOS) and children and young people with Special Educational Needs and Disabilities (SEND):
 - LAC have been prioritised to ensure shorter waiting times for assessment and treatment, CAMHS also provides intensive support to residential homes, joint care planning, and quick and easy access to the CAMHS Professional Advice Line to support the Children's Services workforce. This prevents the escalation of poor mental health and challenging behaviour and reduces the risk of placement breakdown.
 - Those open to YOS benefit from shorter waiting times, receive specialist support through the Forensic CAMHS team, as do Children's Services practitioners through direct consultation from the Crisis Team and bespoke training. The Council has worked closely with NHSE Health and Justice and CAMHS to improve the mental health pathway for those in the criminal justice system, whose mental health care requirements can be hard to meet through core CAMHS.

- Specialist LD crisis support is available, as well as specialist LD clinicians within core CAMHS teams who provide support and interventions directly in Lincolnshire's schools, to help maintain children's attendance and support their educational achievement.
- Three years ago over 20 young people were detained in a place of safety under section 136 of the Mental Health Act, approximately 90% of which were known to Children's Services. New integrated pathways and joint crisis planning means that there has only been one case recently.
- Transition from CAMHS to Adult Mental Health Services (AMHS) is a key priority locally and nationally. The integrated commissioning arrangements currently in place have meant that Lincolnshire has already been able to develop a flexible approach to transition, with young people staying in CAMHS longer where it is felt this is still the best way to meet their needs.
- The Council is also able to take advantage of a close working relationship with LPFT to increase the effectiveness of day-to-day delivery through;
 - Regular joint meetings across services to share information and coordinate care
 - Multi-agency partnerships including police, Social Care, YOS specialist CAMHS, and Early Help
 - Co-location in the same buildings or nearby making it easier to collaborate, share information and "build a team around the person" across professional boundaries.

Summary of Key Findings

- The Council receives a number of key benefits as a result of the current integrated commissioning and joint funding arrangements which would be at risk should either of these not continue:
 - Arrangements provide strong backing to the Council in meeting its statutory duties, particularly in relation to LAC, YOS and SEND, and also in relation to meeting requirements under the Ofsted framework.
 - Lead commissioning through the Council's Children's Services Strategic Commissioning Service has helped to secure and significantly improve CAMHS performance in Lincolnshire; it provides good value for money whilst being one of the best in the country.
 - Integration has also helped to ensure that services are aligned to the Council's Public Health responsibilities around children and young people's mental health and has helped secure additional funding, particularly around health and justice.
 - CAMHS provides excellent support in Lincolnshire to the Council's and wider children's workforce, including Education, Youth Offending, Early Help and Social Care, enabling them to deliver better outcomes for children and young people.

4. Commissioning Options Analysis

4.1. Options Overview

This options analysis focuses on the commissioning of CAMHS services from 1st April 2020 onwards. The options considered for the commissioning of the service were:

- a) Do nothing – this means continuing with current contractual arrangements and not altering services or funding.
- b) Decommissioning – this means not commissioning any services beyond existing contracts and that services would effectively cease.
- c) Insourcing – this means bringing the services within the Council or CCG with staff potentially being subject to TUPE rights and then being employed and managed by the Council or CCG.
- d) Partnership – this means working in partnership with other agencies either as co-commissioner or co-provider to try to secure the continuation of services.
- e) Procurement by means of an open competitive tender – this means going out to the market, by means of a competitive tender process, with the intention of continuing to outsource the service to meet the requirements of service users.

4.2. Options Appraisal

a) Do nothing

Current contractual arrangements will expire on 31st March 2020, therefore it is not a viable option to do nothing and allow the agreement to expire.

b) Decommissioning

The commissioning of the service supports the Council and CCGs in fulfilling statutory duties, covered in various legislation as listed in Section 3.2 of this Commissioning Plan. Decommissioning would be likely to result in the Council and CCGs facing significant legal challenge. Furthermore, the Council would certainly face public challenge if this service were no longer available. There are no benefits to children and families in Lincolnshire of totally de-commissioning these services and the likely result would mean that our most vulnerable children are not identified quickly and supported with problems further increasing pressure on social care and other services. This is not a legitimate option for consideration and for this reason no further detailed options analysis has been conducted.

c) Insourcing

Return delegated commissioning responsibility back to the four CCGs and retain Council funding for delivering a universal offer in house. This option is not recommended.

Benefits:

- Greater control and ability to influence the in-house offer.
- The Council may consider it a benefit to no longer be accountable for commissioning CAMHS particularly as this could release capacity of staff currently involved in the commissioning and contract management of CAMHS which is funded by the Council.
- Reduced risk of conflicting priorities across main funders leading to insecurities over contract value and length.

Risks:

- End an effective joint commissioning arrangement which achieves an integrated approach to supporting children and young people's mental health
- Disjointed service which could cause uncertainty for children and young people
- Reputational risk for the Council as it is seen to disengage with a critical service for young people
- The Council is not an expert in delivering these services and would need to invest funding in up-skilling existing staff or on additional recruitment. The Council is less likely to attract mental health nursing staff to provide a service for example who will favour working within the NHS
- Recruiting to a new service can be difficult and there is no guarantee that the service will be ready to launch with a full staffing complement that are sufficiently upskilled to deliver the service.

d) Partnership

The Council's ability to enter into partnership agreements with NHS bodies is contained in section 75 of the National Health Service Act 2006 and the NHS Bodies and Local Authorities Partnership Arrangements Regulations 2000 as amended.

Under the Regulations the Council can enter into the arrangements as long as they are likely to lead to an improvement in the way in which the relevant functions are exercised.

The Agreements can properly be considered to be a public-public collaboration under Regulation 12(7) of the Public Contracts Regulations 2015. As such they do not need to be subject to a competitive procurement process.

In Lincolnshire, CAMHS has previously been commissioned via s75 partnership agreements. There are currently two contractual arrangements in place that relate to the commissioning of CAMHS both of which expire 31st March 2020.

- 1) An agreement (made under Section 75 of the NHS Act 2006) between the Council and Lincolnshire CCGs. This agreement allows funding for CAMHS to be pooled and delegates lead commissioning responsibility to the Council.
- 2) An agreement (made under Section 75 of the NHS Act 2006) between the Council and LPFT under which LPFT exercises the Council's functions in the areas of specialist CAMHS and a range of related children's services which are the responsibility of the CCGs and the Council.

Legal advice has concluded that the arrangements between the County Council and CCGs and the arrangements between the County Council and LPFT are sufficiently joint and co-operative in nature that they can properly be considered to amount to a public-public collaboration under Regulation 12(7) of the Public Contracts Regulations 2015. As such they do not need to be subject to a competitive procurement process.

It is considered therefore that the Council can lawfully extend the existing section 75 arrangements. At the same time it would be prudent to amend the s75 Agreement with LPFT to make clearer the extent of the co-operation between the County Council and LPFT that exists in practice.

Benefits:

- LPFT is the long established mental health provider in Lincolnshire local offer and is providing an outstanding service.

- LPFT already employs mental health nurses and a workforce that is trained and experienced around emotional wellbeing and mental health. LPFT would be well placed to utilise existing staff skills or employ more staff to deliver this service.
- Maintaining a single provider for both CAMHS and Health Minds Lincolnshire (HML) and Adult Mental Health Services (AMHS) will continue to ensure fluidity between services with no gaps in thresholds.
- Financial benefits from utilising existing infrastructure in place at LPFT.
- Streamlined service with no disruption to vulnerable service users as one contract ends and another begins.

Risks:

- Due to the nature of the partnership arrangement the level of commissioner's influence and control may be limited in comparison to a contract for services, however given previous partnership arrangements have still seen significant and transformative service improvement along with high performance this is not considered to be a high risk.
- The wider provider market will not be tested to determine if there are any alternative providers who may wish to enter this market in Lincolnshire.

e) Procurement

If a contract for services was put out to an open competitive tender process, the value means it would be required to comply with the UK's Public Contracts Regulations 2015 which would require significant time and resource. There is little evidence of sufficient marketplace appetite and procurement exercise costs may not prove to be value for money.

A Market Report has been collated and analysed and is available upon request, in summary:

- The analysis shows that a varied market does not exist for CAMHS, particularly in Lincolnshire.
- The market place for delivery of clinically led moderate to severe mental health provision is dominated by local NHS trusts set up for this specific public service.

Benefits:

- No risk of legal challenge.
- Stimulate market competition to promote innovation and value for money.
- There is potential to broaden the provider market place in Lincolnshire.
- External providers may be able to attract additional funding streams to the service that the Council cannot access.

Risks:

- A change in provider may result in uncertainty for vulnerable service users.
- The successful bidder(s) may not have the infrastructure in place to deliver the service and there is a high risk of staff not transferring to another non-NHS provider and staying with LPFT. Any additional recruitment would risk service delivery.
- The successful bidder(s) may not have existing local knowledge and/or relationships with schools and therefore time will need to be spent in the first year of the service developing knowledge and relationships.
- The re-procurement may receive higher costed bids.
- It could affect the Council's and CCGs wider contractual relationship with LPFT.
- CAMHS and AMHS would be provided by different organisations which would be a risk to young people transitioning to AMHS.
- This will require CCG agreement, which could affect the joint funding agreement.

5. Recommended Option

The recommended commissioning option is to enter into two s75 agreements between the Council and CCGs and the Council and LPFT from 1st April 2020 onwards to continue existing arrangements for CAMHS. The recommended duration for those arrangements is five years. This option is outlined in section 4.2(d) above, including specific legal advice.

This decision is based on the current service performance, stakeholder feedback and market analysis undertaken as part of the review of CAMHS.

It is recommended that commissioners and LPFT work together to modify or develop accordingly the CAMHS delivery specification which should be operational from 1st April 2020.

5.1. Funding Recommendations for CAMHS

The table below outlines the overall budget breakdown proposals required to fund CAMHS from 2020/21:

- Core Contract Contribution has been increased to include previously non-recurrent CCG funding as well as Agenda for Change pay award from 2019/20 of £163,000*.
- Youth Offending Psychology and SALT support is funded on a non-recurrent basis through the Youth Offending Service and Health Justice Collaborative.
- From 2019/20 the Commissioning for Quality and Innovation (CQUIN) amount has been reduced from 2.5% of the CCG core contract contribution to 1.25% of the revised core contribution amount. This is reflected in the following table.

		2018/19	2020/21
1. Core Contract Contribution	Lincolnshire County Council ²	£724,589	£724,589
	CCGs ³	£4,725,398	£6,594,040
	<i>Subtotal</i>	£5,449,987	£7,318,629
1a. CQUIN Contribution		£118,135	£82,426
1b. Transformation Plan Funding		£1,441,042*	-
Total Core Contract Contribution		£7,009,164	£7,401,055
2. Additional funding	Youth Offending Nurses	£69,600*	-
	Crisis Support to LD	£195,000*	-
	Youth Offending Psychology	£84,334	-
	<i>Subtotal</i>	£348,934	-
Total CAMHS Pooled Fund		£7,358,098	£7,401,055

*Added to CCG core funding in 2020/2021

There are a number of additional innovation areas that are currently funded non-recurrently (either via the Council, NHSE or CCGs). These are not included in core funding and require further discussions between the Council, CCGs and LPFT regarding future funding/delivery:

- Peer Support Workers
- Achievement of 4 week wait target following pilot
- Youth offending psychology support
- Youth offending Speech and Language Therapy (SALT)
- Backfill of CAMHS CYP IAPT staff
- Training, backfill and supervision of Council CYP IAPT staff.

² Lincolnshire County Council contributions are shown as GREEN in the tables in section 5.

³ CCG contributions are shown as BLUE in the tables in section 5.

Council Funding Implications

The evidence is clear that the money the Council invests has a huge impact on children's mental health services and improving the lives of children, young people and families in Lincolnshire, particularly the most vulnerable. In a different funding climate recommendations would be for the Council to invest more in CAMHS. However, the Council is under significant financial pressure with further planned funding cuts. In light of this it is recommended that the Council maintains the current level of core funding but works with LPFT to find areas of efficiency to increase what this funding is used for.

Other Funding Considerations

There are a number of further developments that have been noted as part of this review and Commissioning Plan, which are in line with both national policy and local stakeholder feedback. It is recommended that commissioners should be delegated authority to work together following the agreement of any forthcoming funding, as a result of the Government commitment as part of the NHS Long Term Plan, to identify and prioritise areas for improvement in CAMHS delivery that are aligned to the following:

- Expanding access to community-based mental health services to meet the needs of all children and young people who need support, e.g. through self-referral, additional capacity to deliver interventions outside normal hours and in the home or other venues across the county, digital access etc.
- Further investment in children and young people's eating disorder services, particularly preventative and early intervention.
- Access for CYP to mental health crisis care 24 hours a day, seven days a week, with much faster telephone and face-to-face response times.
- Support for to school/college Mental Health Support Teams, such as with appropriate staff training and supervision.
- Developing new services for children who have complex needs that are not currently being met, including those experiencing sexual assault or additional autism training to specialist LD clinicians.
- Better mental health support for young adults aged 18-25 to support the transition to adulthood, such as development of a specific "Transitions Team" across CAMHS and AMHS or increased funding to extend the age range of CAMHS.

Summary of Key Funding Recommendations

- Council to maintain its core contract contribution of £724,589 but work with LPFT to find areas of efficiency to increase what this funding is used for.
- CCGs to increase their overall contribution by £127,291;
 - To include Transformation Plan Funding, Youth Offending Nurses and crisis support to LD as part of core contribution
 - To increase core contribution as a result of LPFT Agenda for Change pay award (£163,000)
 - CQUIN recalculated and reduced to 1.25% of revised CCG core contribution.
- CCGs to agree future commissioning, and funding if required, of Peer Support Workers programme.
- CCGs to agree to prioritise and provide any forthcoming funding through the NHS Long Term plan regarding outcome of the 4 week wait pilot as well as to deliver 24/7 crisis support with much faster response times.
- Commissioners to be delegated authority to work with LPFT to identify and prioritise areas for improvement in CAMHS delivery aligned to priorities in the NHS Long Term Plan, subject to the agreement of any additional funding.

- To seek formal approval in principle from the Council's Executive in July 2019 following pre-decision scrutiny in June 2019 with a delegation to the Interim Director of Education in consultation with the Executive Councillor for Adult Care, Health and Children's Services to determine the final form of the section 75 Agreements and approve them being entered into.

5.2. Impact Assessment

The Council and CCGs must consult jointly with such persons as appear to them to be affected by changes to s75 partnership arrangements. However given that the recommendation is to extend arrangements which are currently in place and the existing provision will remain in place there are not considered to be any persons affected by the arrangements with whom consultation is required.

An equality impact assessment has been undertaken and is available upon request. This will continue to be modified as required so that it remains up to date with developments. Given this Commissioning Plan does not propose significant changes to existing delivery arrangements, there are no significant adverse impacts envisaged.

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Equality Impact Analysis to enable informed decisions

The purpose of this document is to:-

- I. help decision makers fulfil their duties under the Equality Act 2010 and
- II. for you to evidence the positive and adverse impacts of the proposed change on people with protected characteristics and ways to mitigate or eliminate any adverse impacts.

Using this form

This form must be updated and reviewed as your evidence on a proposal for a project/service change/policy/commissioning of a service or decommissioning of a service evolves taking into account any consultation feedback, significant changes to the proposals and data to support impacts of proposed changes. The key findings of the most up to date version of the Equality Impact Analysis must be explained in the report to the decision maker and the Equality Impact Analysis must be attached to the decision making report.

****Please make sure you read the information below so that you understand what is required under the Equality Act 2010****

Equality Act 2010

The Equality Act 2010 applies to both our workforce and our customers. Under the Equality Act 2010, decision makers are under a personal duty, to have due (that is proportionate) regard to the need to protect and promote the interests of persons with protected characteristics.

Protected characteristics

The protected characteristics under the Act are: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation.

Section 149 of the Equality Act 2010

Section 149 requires a public authority to have due regard to the need to:

- Eliminate discrimination, harassment, victimisation, and any other conduct that is prohibited by/or under the Act
- Advance equality of opportunity between persons who share relevant protected characteristics and persons who do not share those characteristics
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The purpose of Section 149 is to get decision makers to consider the impact their decisions may or will have on those with protected characteristics and by evidencing the impacts on people with protected characteristics decision makers should be able to demonstrate 'due regard'.

Decision makers duty under the Act

Having had careful regard to the Equality Impact Analysis, and also the consultation responses, decision makers are under a personal duty to have due regard to the need to protect and promote the interests of persons with protected characteristics (see above) and to:-

- (i) consider and analyse how the decision is likely to affect those with protected characteristics, in practical terms,
- (ii) remove any unlawful discrimination, harassment, victimisation and other prohibited conduct,
- (iii) consider whether practical steps should be taken to mitigate or avoid any adverse consequences that the decision is likely to have, for persons with protected characteristics and, indeed, to consider whether the decision should not be taken at all, in the interests of persons with protected characteristics,
- (iv) consider whether steps should be taken to advance equality, foster good relations and generally promote the interests of persons with protected characteristics, either by varying the recommended decision or by taking some other decision.

Conducting an Impact Analysis

The Equality Impact Analysis is a process to identify the impact or likely impact a project, proposed service change, commissioning, decommissioning or policy will have on people with protected characteristics listed above. It should be considered at the beginning of the decision making process.

The Lead Officer responsibility

This is the person writing the report for the decision maker. It is the responsibility of the Lead Officer to make sure that the Equality Impact Analysis is robust and proportionate to the decision being taken.

Summary of findings

You must provide a clear and concise summary of the key findings of this Equality Impact Analysis in the decision making report and attach this Equality Impact Analysis to the report.

Impact – definition

An impact is an intentional or unintentional lasting consequence or significant change to people's lives brought about by an action or series of actions.

How much detail to include?

The Equality Impact Analysis should be proportionate to the impact of proposed change. In deciding this asking simple questions “Who might be affected by this decision?” “Which protected characteristics might be affected?” and “How might they be affected?” will help you consider the extent to which you already have evidence, information and data, and where there are gaps that you will need to explore. Ensure the source and date of any existing data is referenced.

You must consider both obvious and any less obvious impacts. Engaging with people with the protected characteristics will help you to identify less obvious impacts as these groups share their perspectives with you.

A given proposal may have a positive impact on one or more protected characteristics and have an adverse impact on others. You must capture these differences in this form to help decision makers to arrive at a view as to where the balance of advantage or disadvantage lies. If an adverse impact is unavoidable then it must be clearly justified and recorded as such, with an explanation as to why no steps can be taken to avoid the impact. Consequences must be included.

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Proposals for more than one option If more than one option is being proposed you must ensure that the Equality Impact Analysis covers all options. Depending on the circumstances, it may be more appropriate to complete an Equality Impact Analysis for each option.

The information you provide in this form must be sufficient to allow the decision maker to fulfil their role as above. You must include the latest version of the Equality Impact Analysis with the report to the decision maker. Please be aware that the information in this form must be able to stand up to legal challenge.

Background Information

Title of the policy / project / service being considered	Children and Adolescent Mental Health Service (CAMHS)	Person / people completing analysis	Lynda Whitton
Service Area	Children's Services Strategic Commissioning Team	Lead Officer	Charlotte Gray
Who is the decision maker?	Lincolnshire CCGs and Lincolnshire County Council Executive	How was the Equality Impact Analysis undertaken?	Through review and stakeholder engagement via face to face consultations and surveys with professionals, children and young people and parents/carers.
Date of meeting when decision will be made	09/07/2019	Version control	V3
Is this proposed change to an existing policy/service/project or is it new?	Existing policy/service/project	LCC directly delivered, commissioned, re-commissioned or de-commissioned?	Re-commissioned
Describe the proposed change	Re-commissioning the CAMHS service from April 2020 following a review to inform improvements to the existing service.		

Evidencing the impacts

In this section you will explain the difference that proposed changes are likely to make on people with protected characteristics. To help you do this first consider the impacts the proposed changes may have on people without protected characteristics before then considering the impacts the proposed changes may have on people with protected characteristics.

You must evidence here who will benefit and how they will benefit. If there are no benefits that you can identify please state 'No perceived benefit' under the relevant protected characteristic. You can add sub categories under the protected characteristics to make clear the impacts. For example under Age you may have considered the impact on 0-5 year olds or people aged 65 and over, under Race you may have considered Eastern European migrants, under Sex you may have considered specific impacts on men.

Data to support impacts of proposed changes

When considering the equality impact of a decision it is important to know who the people are that will be affected by any change.

Population data and the Joint Strategic Needs Assessment

The Lincolnshire Research Observatory (LRO) holds a range of population data by the protected characteristics. This can help put a decision into context. Visit the LRO website and its population theme page by following this link: <http://www.research-lincs.org.uk> If you cannot find what you are looking for, or need more information, please contact the LRO team. You will also find information about the Joint Strategic Needs Assessment on the LRO website.

Workforce profiles

You can obtain information by many of the protected characteristics for the Council's workforce and comparisons with the labour market on the [Council's website](#). As of 1st April 2015, managers can obtain workforce profile data by the protected characteristics for their specific areas using Agresso.

Positive impacts

The proposed change may have the following positive impacts on persons with protected characteristics – If no positive impact, please state 'no positive impact'.

Age	No perceived positive impact as current delivery supports a one intervention episode approach to supporting children and young people; where treatment may be needed post age 18 years, collaborative planning takes place with the young person and practitioner to agree a transition plan. Where appropriate, young people continue to be supported by CAMHS post age 18 years. This will be formalised as the delivery specification is developed for April 2020 onwards.
Disability	No perceived positive impact as there are no significant changes proposed to the current delivery model.
Gender reassignment	No perceived positive impact as there are no significant changes proposed to the current delivery model.
Marriage and civil partnership	No perceived positive impact as there are no significant changes proposed to the current delivery model.
Pregnancy and maternity	No perceived positive impact as there are no significant changes proposed to the current delivery model.
Race	No perceived positive impact as there are no significant changes proposed to the current delivery model.
Religion or belief	No perceived positive impact as there are no significant changes proposed to the current delivery model.

Sex	No perceived positive impact as there are no significant changes proposed to the current delivery model.
Sexual orientation	No perceived positive impact as there is no planned change to the current service model, however as the service specification is developed for delivery 2020 onwards, any impact on this protected characteristic will be revisited.

If you have identified positive impacts for other groups not specifically covered by the protected characteristics in the Equality Act 2010 you can include them here if it will help the decision maker to make an informed decision.

There are no perceived positive impacts as there are no significant changes proposed to the current delivery model. However this assessment will be revisited and updated as the specification is developed in partnership with CCGs and the provider for delivery from April 2020 onwards, any impact on these protected characteristics or other groups will be considered and this document updated accordingly.

Adverse/negative impacts

You must evidence how people with protected characteristics will be adversely impacted and any proposed mitigation to reduce or eliminate adverse impacts. An adverse impact causes disadvantage or exclusion. If such an impact is identified please state how, as far as possible, it is justified; eliminated; minimised or counter balanced by other measures.

If there are no adverse impacts that you can identify please state 'No perceived adverse impact' under the relevant protected characteristic.

Negative impacts of the proposed change and practical steps to mitigate or avoid any adverse consequences on people with protected characteristics are detailed below. If you have not identified any mitigating action to reduce an adverse impact please state 'No mitigating action identified'.

Age	No perceived negative impacts currently identified as there are no significant changes proposed to the current delivery model. However this assessment will be revisited and updated as the specification is developed in partnership with CCGs and the provider for delivery from April 2020 onwards. Any impact on this protected characteristic will be considered and this document updated accordingly.
Disability	No perceived negative impacts currently identified as there are no significant changes proposed to the current delivery model. However this assessment will be revisited and updated as the specification is developed in partnership with CCGs and the provider for delivery from April 2020 onwards. Any impact on this protected characteristic will be considered and this document updated accordingly.
Gender reassignment	No perceived negative impacts currently identified as there are no significant changes proposed to the current delivery model. However this assessment will be revisited and updated as the specification is developed in partnership with CCGs and the provider for delivery from April 2020 onwards. Any impact on this protected characteristic will be considered and this document updated accordingly.
Marriage and civil partnership	No perceived negative impacts currently identified as there are no significant changes proposed to the current delivery model. However this assessment will be revisited and updated as the specification is developed in partnership with CCGs and the provider for delivery from April 2020 onwards. Any impact on this protected characteristic will be considered and this document updated accordingly.
Pregnancy and maternity	No perceived negative impacts currently identified as there are no significant changes proposed to the current delivery model. However this assessment will be revisited and updated as the specification is developed in partnership with CCGs and the provider for delivery from April 2020 onwards. Any impact on this protected characteristic will be considered and this document updated accordingly.

Race	No perceived negative impacts currently identified as there are no significant changes proposed to the current delivery model. However this assessment will be revisited and updated as the specification is developed in partnership with CCGs and the provider for delivery from April 2020 onwards. Any impact on this protected characteristic will be considered and this document updated accordingly.
Religion or belief	No perceived negative impacts currently identified as there are no significant changes proposed to the current delivery model. However this assessment will be revisited and updated as the specification is developed in partnership with CCGs and the provider for delivery from April 2020 onwards. Any impact on this protected characteristic will be considered and this document updated accordingly.
Sex	No perceived negative impacts currently identified as there are no significant changes proposed to the current delivery model. However this assessment will be revisited and updated as the specification is developed in partnership with CCGs and the provider for delivery from April 2020 onwards. Any impact on this protected characteristic will be considered and this document updated accordingly.
Sexual orientation	No perceived negative impacts currently identified as there are no significant changes proposed to the current delivery model. However this assessment will be revisited and updated as the specification is developed in partnership with CCGs and the provider for delivery from April 2020 onwards. Any impact on this protected characteristic will be considered and this document updated accordingly.

If you have identified negative impacts for other groups not specifically covered by the protected characteristics under the Equality Act 2010 you can include them here if it will help the decision maker to make an informed decision.

No perceived negative impacts currently identified as there are no significant changes proposed to the current delivery model. However this assessment will be revisited and updated as the specification is developed in partnership with CCGs and the provider for delivery from April 2020 onwards, any impact on these protected characteristics or other groups will be considered and this document updated accordingly.

Stakeholders

Stake holders are people or groups who may be directly affected (primary stakeholders) and indirectly affected (secondary stakeholders)

You must evidence here who you involved in gathering your evidence about benefits, adverse impacts and practical steps to mitigate or avoid any adverse consequences. You must be confident that any engagement was meaningful. The Community engagement team can help you to do this and you can contact them at consultation@lincolnshire.gov.uk

State clearly what (if any) consultation or engagement activity took place by stating who you involved when compiling this EIA under the protected characteristics. Include organisations you invited and organisations who attended, the date(s) they were involved and method of involvement i.e. Equality Impact Analysis workshop/email/telephone conversation/meeting/consultation. State clearly the objectives of the EIA consultation and findings from the EIA consultation under each of the protected characteristics. If you have not covered any of the protected characteristics please state the reasons why they were not consulted/engaged.

Objective(s) of the EIA consultation/engagement activity

A large scale review of Lincolnshire CAMHS has informed the joint strategic commissioning intentions of mental health services for children and young people in Lincolnshire and the recommended approach for commissioning these services from April 2020.

Who was involved in the EIA consultation/engagement activity? Detail any findings identified by the protected characteristic

Age	<p>The engagements have been presented by representatives of the Children's Strategic Commissioning Team, which consisted of Lynda Whitton (<i>Commissioning Officer</i>) and Stefanie Stubbs (<i>Commissioning Officer</i>). The engagements ran from June 2018 and finished in November 2018 as part of the Child and Adolescent Mental Health Service (CAMHS) Review.</p> <p>Engagement took place in various locations around the County with a number of Professionals and Service Users (approx. 75); Professionals working with Lincolnshire Partnership Foundation Trust for CAMHS; Professionals working in Schools welfare and safeguarding; Young inspectors for Lincolnshire County Council, Children and young people and Social Care from LCC - early help and social workers.</p>
Disability	<p>As above.</p>
Gender reassignment	<p>As above.</p>
Marriage and civil partnership	<p>As above.</p>
Pregnancy and maternity	<p>As above.</p>
Race	<p>As above.</p>

Religion or belief	As above.
Sex	As above.
Sexual orientation	As above.
Are you confident that everyone who should have been involved in producing this version of the Equality Impact Analysis has been involved in a meaningful way? The purpose is to make sure you have got the perspective of all the protected characteristics.	Yes - Public surveys on CAMHS were open to all parents, carers and children and young people in Lincolnshire to complete. This ensured all protected characteristic groups had an opportunity to respond to the survey which was promoted via the Council's social media communication channels, engagement with representative community-based groups such as Lincolnshire Children and Young People's Voluntary Sector Forum (CYPVSF), Young Inspectors; and the Lincolnshire Parent Carer Forum (LPCF) also sought to increase the reach to particular groups to promote engagement in the review and included face to face opportunities and workshops to capture their voice.
Once the changes have been implemented how will you undertake evaluation of the benefits and how effective the actions to reduce adverse impacts have been?	A post-project review will be conducted to identify any benefits already achieved. Any new service will be subject to contract management. This will involve tracking performing indicators and other information designed to monitor the effectiveness of delivery in meeting people's needs, including feedback and views of service users.

Further Details

Are you handling personal data?	No If yes, please give details.
----------------------------------------	----------------------------------------

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Actions required	Action	Lead officer	Timescale
Include any actions identified in this analysis for on-going monitoring of impacts.			

Version	Description	Created/amended by	Date created/amended	Approved by	Date approved
V2.0	Issued following CAMHS service review	Lynda Whitton	06/01/2019	Kevin Johnson	29/05/2019
V2.1	Issued following report to DMT	Lynda Whitton	28/05/2019		
V3.0	Issued for submission to CYP Scrutiny Committee	Kevin Johnson	29/05/2019		

Examples of a Description:

- 'Version issued as part of procurement documentation'
- 'Issued following discussion with community groups'
- 'Issued following requirement for a service change; Issued following discussion with supplier'

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Open Report on behalf of Glen Garrod, Executive Director of Adult Care and Community Wellbeing

Report to:	Executive
Date:	09 July 2019
Subject:	Extra Care Housing
Decision Reference:	I017762
Key decision?	Yes

Summary:

This business case recommends that £2.8m of the £11.886m Adult Care Capital grant is used to enable the De Wint Extra Care Housing scheme to commence development in October 2019. The proposed De Wint ECH scheme in the City of Lincoln is a partnership between the City of Lincoln Council (CoLC) and the County Council to provide Extra Care Housing (ECH) for the anticipated demand in the City. The development will provide a total of 70 units of accommodation for a minimum 30 year period enabling choice for residents and revenue savings by providing an alternative to expensive residential care. The total cost of the development is £12 million, with the CoLC contributing £6 million, Homes England £3.2 million and the County Council £2.8 million that provides Adult Care with nomination rights on 35 units for 30 years using a process of first right of refusal with no void risk.

Recommendation(s):

That the Executive:

1. approves the making of a contribution of £2.8m from the Extra Care Housing Capital Programme for Lincolnshire to the De Wint Extra Care Housing scheme being developed by City of Lincoln Council through a Funding Agreement which provides nomination rights for the County Council with no void risk.
2. delegates to the Executive Director for Adult Care and Community Wellbeing in consultation with the Executive Councillor for Adult Care, Health and Children's Services authority to determine the final form and approve the entering into of all legal documentation necessary to give effect to the above decision.

Alternatives Considered:	
1.	Do Nothing: The lack of affordable and available ECH in Lincolnshire will continue to limit choice and increase revenue costs for the Council in the medium and long term.
2	Provide funding for the De Wint Scheme on the basis of a collaboration agreement rather than a Funding Agreement. It is not possible to evidence the necessary collaboration in this instance to make this a possible option. Such an approach would require a greater degree of involvement in the Scheme and sharing of its risks than can be achieved through a Funding Agreement.
3.	Deliver ECH wholly as Lincolnshire County Council through the Property Company.
	Further detail of the assessment of these options is set out in the body of the Report.

Reasons for Recommendation:

To enable the County Council to develop ECH in partnership with City of Lincoln Council, a Housing Revenue Account holder, thereby using City of Lincoln Council's existing housing development resources and capacity for the development of the scheme to offset the higher revenue costs of residential care.

To enable the County Council to use its existing and future best value care service contracts to support the new developments.

A Funding Agreement allows the Council to make its contribution in a way which is compliant with the Council's procurement and state aid obligations and with the least risk in relation to the operation of the facility and in particular the occurrence of voids.

1. Background

The Strategic Case

1.1.1 Lincolnshire County Council has defined Extra Care Housing (ECH) as "accommodation that promotes wellbeing and independence". ECH can best be described as provision that is at the mid-point between full time residential care and domiciliary care. This means that ECH is designed in such a way that allows it to respond to the changing care needs of customers as they grow older and their needs potentially increase.

The Adult Care Extra Care Housing Capital Programme for Lincolnshire is intended to help older people achieve greater independence and wellbeing,

by giving them more choice over housing and care options. Furthermore, ECH will help divert a number of older people from moving into residential care and will allow LCC to reinvest resources in preventative services. The development of ECH presents an opportunity to generate a sustainable future for health and social care in Lincolnshire, meeting a key ambition of the sustainable services review.

1.1.2 Extra Care Housing is a tried and tested model throughout the United Kingdom as well as Lincolnshire. There are currently eight ECH Schemes operating in Lincolnshire providing a total of 288 units. The relationship between local and national demographics is generally consistent and increasingly evident in Lincolnshire. The growth of the older aged groups is forecast to accelerate in the next five years linked to the longer term trend of rising life expectancy. Lincolnshire is a net importer of older people, mainly because it is a County where people come to retire. It is one of the largest geographical counties in England and is predominantly rural. Evidence suggests local people wish to age in the communities they are familiar with and therefore, in response to their needs, Lincolnshire County Council is aiming to provide a number of schemes across the County so people don't have to move far to access ECH.

1.1.3 The national policy debate has shifted from a focus on frail or vulnerable people, and treating ill health towards an agenda that is about:

- Promoting independence;
- Promoting well-being;
- Enhancing quality of life;
- Accessing services closer to home.

It recognises the importance of investing in preventative services to enable people to remain as independent as possible, for as long as possible. The following are the key themes which run through national, regional and local strategies:

Transformation - public services to respond to the demographic challenges presented by an ageing and diverse society and the rising expectations of people who depend on health and social care for their quality of life. Extending access to services and developing more effective links between health and social services, and other services such as housing, the voluntary and private sectors.

Personalisation - creation of an environment where people can take greater control of, and retain responsibility for, their own lives and to make the choices that matter to them most.

Universally available preventative services - effective equipment provision that helps people to maintain their independence, slows down deterioration in function and supports and protects the health of carers.

Targeted early interventions - to prevent or postpone the need for more costly services such as crisis intervention, hospital admissions etc.

Information and advice – people to be well informed about the options available to them.

- 1.1.4 The most recently published national dataset regarding short and long term adult care support demonstrates that adult care expenditure remains on an upward trend. Gross expenditure in 2017/18 on adult social care by local authorities was £17.9 billion. This represents an increase of £402 million from the previous year, a 2.3% increase in cash terms and a 0.4% increase in real terms. The area of care which saw the largest increase in expenditure was long term support, which increased by £369 million to £14.0 billion in 2017/18, an increase in cash terms of 2.7%. 1.8 million requests for adult social care support from 1.3 million new clients, for which an outcome was determined in the year, were received by local authorities in 2017/18. This was an increase of 1.6% since 2016/17. This is equivalent to more than 5,000 requests for support received per day by local authorities.
- 1.1.5 An ageing population coupled with rising numbers of profoundly disabled working age adults presents public services, including housing, with a number of challenges to ensure the availability of adequate and appropriate services to support those who need them. These demographic changes have required a policy response from central government, local housing, health, and social care agencies.
- 1.1.6 In 2009 HAPPI – Housing our Ageing Population: Panel for Innovation – was commissioned by the Homes and Communities Agency, on behalf of Communities and Local Government and the Department of Health, to consider how best to address the challenge of providing homes that meet the needs and aspirations of older people. The report produced identified that in meeting such needs housing should be a national priority.
- 1.1.7 In July 2012 the government published the 'Caring for our future: reforming care and support' White Paper and accompanying draft Bill. This outlined the plan to shift the system from one that responds to crisis to one which focuses on wellbeing, and on an individual's ability to live independently for as long as possible. Extra Care Housing was identified as a key part of this new system offering positive solutions for the people who want to continue living in - and potentially owning - their own property, remaining as independent as possible as their needs change. In addition to this document the government announced £300m in capital grants to support development, and stimulate the specialised housing market over the next five years.
- 1.1.8 Lincolnshire County Council is committed to supporting people to stay independent within their own homes for as long as possible. The authority has signalled its intent to expand the range of community based services and at the same time reduce residential placements. The 'Shaping Care for the 21st Century' agenda was developed to provide choice across housing, support and care services, to meet future demand. This included designing and developing schemes that provide options, in lifestyle, accommodation size, location, tenure and services. Partnerships with Health, Housing,

District Councils, the Supporting People service, Independent sector bodies and voluntary groups were seen as being essential. The closure of the eight LCC owned and managed residential homes emphasised the need for modernised services fit for the 21st century such as ECH.

1.1.9 The proposed plans will contribute to reshaping Adult Social Care (ASC) services and opportunities in line with both national best practice and local priorities. The long term effect of this capital strategy will be investment in an infrastructure that supports improvements in choice and diversity of provision, alongside increased independence for customers and an acceleration in our ability to shift resources away from high cost buildings based services into more appropriate integrated community options. This investment will further develop ECH and support the ASC strategic intention to further reduce the number of long stay residential care placements and provide more community based services.

1.1.10 ECH has been viewed as an alternative to, or even a replacement for, residential care, and includes a range of specialist housing models. The Commission on Funding of Care and Support (2011) identified Extra Care Housing as providing a means by which people might exercise greater control over their lives by planning ahead and moving to more suitable housing before developing significant care and support needs.

1.1.11 The then Department of Health commissioned a study by the Personal Social Services Research Unit (PSSRU) into ECH. This study reported the results of a national evaluation that focused on the outcomes for residents and evaluated the 'productivity' or cost-effectiveness of this promising type of provision, and draws on the results reported in more detail elsewhere (Bäumker and Netten, 2011; Bäumker et al., 2011a,b,c; Darton et al., 2011a,b).

1.1.12 Key findings of PSSRU work

Delivering person-centred outcomes

- Outcomes were generally positive, with most people reporting a good quality of life.
- A year after moving in most residents enjoyed a good social life, valued the social activities and events on offer, and had made new friends.
- People had a range of functional abilities on moving in and were generally less dependent than people moving into residential care, particularly with respect to cognitive impairment.
- One-quarter of residents had died by the end of the study, and about a third of those who died were able to end their lives in the scheme.
- Of those who were still alive at the end of the study, over 90 per cent remained in the scheme.
- For most of those followed-up, physical functional ability appeared to improve or remain stable over the first 18 months compared with when they moved in. Although more residents had a lower level of functioning at 30 months, more than a half had still either improved or remained stable by 30 months.

- Cognitive functioning remained stable for the majority of those followed-up, but at 30 months, a larger proportion had improved than had deteriorated.

Costs and cost-effectiveness

- Accommodation, housing management and living expenses accounted for approximately 60% of total cost. The costs of social care and health care showed most variability across schemes, partly because most detail was collected about these elements.
- Comparisons with a study of remodelling appear to support the conclusion that new building is not inherently more expensive than remodelling, when like is compared with like.
- Higher costs were associated with higher levels of physical and cognitive impairment and with higher levels of well-being.
- Combined care and housing management arrangements were associated with lower costs.
- When matched with a group of equivalent people moving into residential care, costs were the same or lower in extra care housing.
- Better outcomes and similar or lower costs indicate that extra care housing appears to be a cost-effective alternative for people with the same characteristics who currently move into residential care.

Improving choice

- People had generally made a positive choice to move into extra care housing, with high expectations focused on improved social life, in particular.
- Alternative forms of housing such as extra care housing are seen as providing a means of encouraging downsizing, but although larger villages appeal to a wider range of residents, different expectations among residents can create tensions and misunderstandings about the nature of the accommodation and services being offered.
- While the results support the use of extra care housing as an alternative to residential care homes for some individuals, levels of supply are relatively low.
- Funding of extra care housing is complex and, particularly in the current financial climate, it is important that incentives that deliver a cost-effective return on investment in local care economies are in place if this is to be a viable option for older people in the future.
- More capital investment and further development of marketing strategies are needed if extra care housing is to be made more available and more appealing to more able residents. Without continuing to attract a wide range of residents, including those with few or no care and support needs as well as those with higher levels of need, extra care housing may become more like residential care and lose its distinctiveness.

1.2 Rationale

- 1.2.1 In the context of austerity for local authorities in England, social care services for vulnerable adults is widely recognised as being under-resourced as well as experiencing a growing demand for services and

increasingly complex care needs across the age ranges. This is coupled with increasing NHS pressure and spiralling staff costs, as highlighted in research by the Association of Directors of Adult Social Services (ADASS). The research shows that councils require a sustainable long-term funding strategy to underpin social care. Lincolnshire is no exception to this national picture and, as such, alternative approaches need exploring in order to deliver the most cost effective service.

1.2.2 Housing is a key priority for the Health and Wellbeing Board and this project contributes to impact on the following Commissioning Strategies for the Council:

- Adult Frailty and Long Term Conditions
- Special Adult Services
- Carers
- Adult Safeguarding
- Wellbeing

1.2.3 The definitions of specialised housing and accommodation for people requiring some degree of care and support tend not to be used across the UK in a consistent way. For the purposes of this report the following definitions have been used, aligned to the definitions used by Housing Learning and Improvement Network (Housing LIN) in a recent report¹, commissioned by Lincolnshire District Councils, to research the needs of Greater Lincolnshire:

Housing for older people (HfOP): social sector sheltered and age-designated housing and private sector leasehold retirement housing. This will include schemes, for rent and for sale, with on-site staff support, those with locality-based support services and schemes with no associated support services;

Housing with care (HWC): includes extra care schemes, often called 'assisted living' in the private sector, with 24/7 care available on-site and housing schemes that offer bespoke care services, even if these are not full on-site 24/7 care, across both the social and private sector. People living in this type of housing have their own self-contained homes, their own front doors and a legal right to occupy the property. It comes in many built forms, including blocks of flats, bungalow estates and retirement villages. Properties can be rented, owned or part owned/part rented. Depending on the offering, housing with care can include communal facilities (residents' lounge, guest suite, laundry, health and fitness facilities, hobby rooms, etc.). Domestic support and personal care can also be made available, usually provided by on-site staff;

Residential care: residential accommodation together with personal care, i.e. a care home;

¹ Housing LIN report 2018 'Review of housing and accommodation need for older people across Greater Lincolnshire to inform future housing and accommodation options'

Nursing care: residential accommodation together with nursing care i.e. a care home with nursing.

- 1.2.4 The Council has a duty to commission care to meet the needs of eligible Lincolnshire residents. Such people must have the choice to select their own care provider and directly contract their services. It may be that the initial offer to provide care services is accepted by the individual but there is no guarantee that they would continue to take services from the Council over the longer term. Therefore the Council must satisfy the regulatory requirements as to the separation of the care provision from the accommodation provision. People should be able to exercise choice and control. The scheme will need to be structured so there is separation to allow people to have a genuine choice in who supplies the care element.²
- 1.2.5 The Council is currently developing a 'Homes for Independence' strategy for the County, which will articulate the projected long term needs of its residents and the County Council's role in addressing them. The strategy will help to determine the scale of the housing need, the geographic hotspots of need and the Council's approach to how the need will be met. A programme of projects would then be initiated in order to deliver the strategy, which will include the Council working in partnership with the supported housing commercial market to deliver the requirements, rather than delivering all of the housing directly. The long term strategy will be made publically available to enable the market to develop suitable delivery approaches.
- 1.2.6 Currently the main sources of evidence surrounding the need for housing with care in Lincolnshire are the Council's Extra Care Needs Assessment, which was undertaken in 2014 and updated in 2017, and the work of Housing LIN in 2018. For the purposes of this business case, data from both of these sources has been used as the evidence base.
- 1.2.7 The Needs Assessment introduces the Council's vision and plan for the provision of housing with care both now and in the future. This business case supports the four main strategic objectives outlined in the Needs Assessment, namely to:
- Provide choices for housing, support and care services, to meet future demand
 - Design and develop schemes that provide options in lifestyle, accommodation size, location, tenure and services
 - Work in partnership with Health, District Councils, Independent housing providers and voluntary groups
 - Encourage older people's participation in the design and implementation of new schemes

² Please see the care quality commission guidance "Housing with Care" October 2015 (especially pages 9 to 10): https://www.cqc.org.uk/sites/default/files/20151023_provider_guidance-housing_with_care.pdf

1.2.8 The Needs Assessment identifies that nearly 50% of the Council's Adult Care budget is spent on providing services for older people and, that being part of the delivery model for providing housing with care will help the Council to better manage future budget pressures. The Market Position Statement estimates that in the region of 2,500 more housing units will be required to meet the potential demand over the next 20 years. The largest proportion of Adult Care expenditure is on Long Term Residential Care and it is anticipated that the provision of housing with care could limit continuing growth in this area of expenditure, providing an alternative for people requiring additional support. The Needs Assessment has found that a quarter of all people in long term residential care could have accessed housing with care had it been available, and that this housing can provide a lower cost solution than Long Term Residential Care.

1.2.9 Demographic profile of Lincolnshire³

Lincolnshire has high numbers of older people, higher than the national average. 176,781 people aged 65+ lived in Lincolnshire as of the end of 2017. They constitute 48% of the overall population and are predicted to increase by 44,286 to 221,067 by 2030 (25% growth from 2018).

The proportion of the population that is aged 55+ is increasing and is projected to increase further to 2035. In Lincolnshire, districts with the highest proportion of the population aged 55 and over by 2030 are: East Lindsey, South Kesteven, North Kesteven, West Lindsey and South Holland. By 2030, it is predicted that East Lindsey will have the highest proportions of older people of all the Lincolnshire districts, as follows:

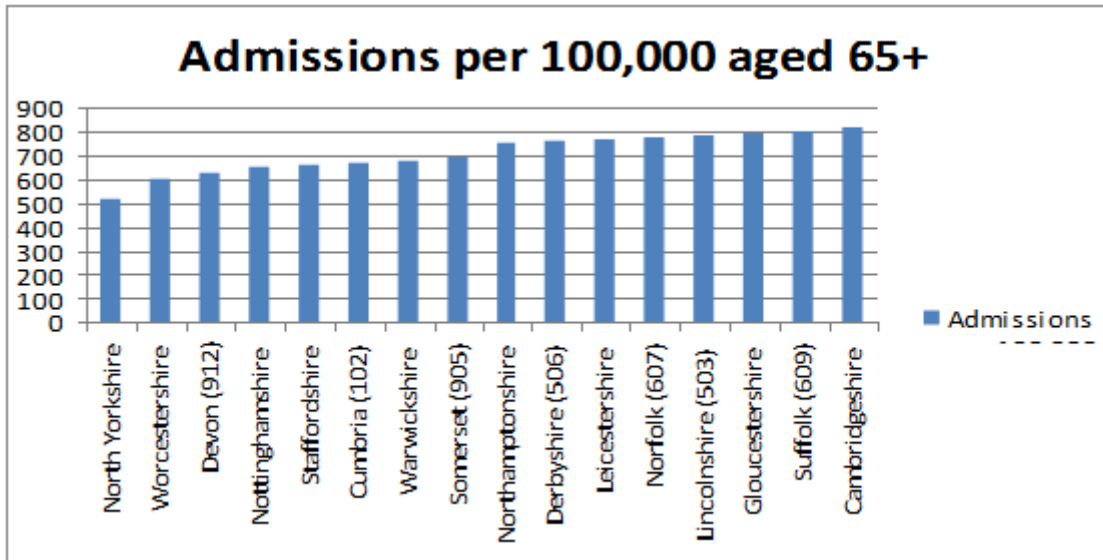
- 50% of the population will be people aged 55+
- 35% of the population will be people aged 65+
- 17% of the population will be people aged 75+
- 5% of the population will be people aged 85+

1.2.10 Comparisons with Family Group Authorities⁴

Lincolnshire has reported higher rates of admissions to residential and nursing care than other comparator authorities. The historical position for admissions is summarised in the table below:

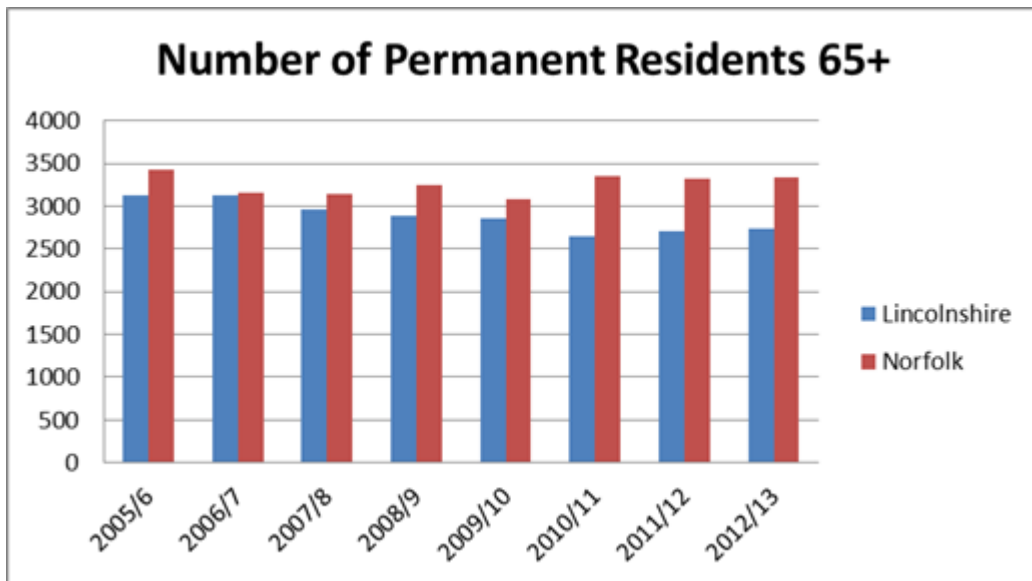
³ Source data: Lincolnshire County Council Extra Care Needs Assessment (revised 2017) and Housing LIN's 'Review of housing and accommodation need for older people across Greater Lincolnshire to inform future housing and accommodation options'

⁴ Adult Scrutiny Committee Report 1st October 2014 – Appendix D



Source – CIPFA (2012-2014)

Lincolnshire had the fourth highest rate of admission to care within this group and current estimates indicate that the admission rate is not decreasing. Lincolnshire also had the fourth highest number of permanent residents in care by population although this figure has been decreasing as evidenced by the next table:



Source - CIPFA

In this graph the figures for Lincolnshire are compared with those for Norfolk which is a County with very similar characteristics to Lincolnshire in terms of demography and geography. It will be noted that the total for Lincolnshire has fallen from over 3,130 in 2005/6 to 2,740 in 2012/13, i.e. a fall of 12%. The issue here is what demand can we expect in the future based on the demographic changes that are taking place. A starting point is to look at population projections for those aged 65+.

1.2.11 Existing provision and estimated need of specialised housing – Greater Lincolnshire⁵

Older people

The evidence from the Housing LIN work indicates that there is not currently a balance of specialised housing choices available for the older population in Greater Lincolnshire. In summary:-

- Overwhelmingly the most prevalent type of older people's housing is sheltered housing and other age-designated housing in the social rented sector.
- The current prevalence of private retirement housing for sale is very limited in most areas of Greater Lincolnshire.
- There is limited housing with care provision for rent for example when compared with the prevalence of residential care beds.
- There is very little housing with care available to older people who wish to purchase.
- There is a high prevalence of residential care beds, for example when compared to the average level of provision in English local authorities.
- The current provision of nursing care beds is in line with the average level of provision in English local authorities.

1.2.12 The evidence indicates the following specialised housing needs for Greater Lincolnshire to 2035:-

Housing designated for older people (for rent and for sale):

- There is net additional need of approximately 1,100 units of older people's housing for rent and approximately 8,000 units of older people's housing for sale.
- There has been a historic focus on development of older people's housing for social rent; both age designated housing and former sheltered housing.
- There is some additional need for social housing for rent, which is attractive, 'care ready' housing.
- The bulk of net additional need is for housing offers for sale, both outright purchase and shared ownership.

Housing with care/extra care housing:

- There is net additional need of approximately 2,000 units of housing with care for rent and approximately 1,800 units of housing with care for sale.
- There has been significant under development of housing with care for both rent and for sale.
- There is a need for all tenures of housing with care, including mixed tenure developments.
- There will be a need for shared equity models as well as outright sale models particularly where older people have relatively low equity in existing homes.

⁵ Source of information for this section: Housing LIN 'Review of housing and accommodation need for older people across Greater Lincolnshire to inform future housing and accommodation options' Report October 2018

Registered care:

- There is no significant net additional need for residential care beds overall.
- There has been an historic over reliance on the use of residential care.

1.3 The Business Case for De Wint Court

- 1.3.1 City of Lincoln Council (CoLC) prepared a Business Case for Capital and Revenue Funding to support the development of Extra Care Housing at De Wint Court, Bowden Drive, Lincoln. This business case provides the information for a decision to be taken by the County Council to proceed with securing 35 units within this project as part of the County Council's Extra Care Housing Programme at a cost of £2.8 million.
- 1.3.2 ECH is designed for people who have complex or difficult to plan for care and support needs which cannot be met in the community with a standard package of care. Understanding by commissioners, designers, developers, providers, planners and other stakeholders of the place that purpose-built extra care housing occupies in models of housing, care and support for older and disabled people has changed and become more nuanced. From a housing perspective, ECH is regarded as an important response to the diverse needs and wishes of a growing older population and to the needs of local communities. Rather than as an end in itself we place extra care housing in the context of modern thinking on age friendly and lifetime neighbourhoods, towns and cities because being age-friendly benefits everyone.
- 1.3.3 The aim is for people to remain in a home of their own, connected to their local community and supported by their social networks to live meaningful lives. Individual tenancies provide privacy whilst communal spaces provide an area for neighbours, friends and family to meet, joining in group activities if they choose to. It provides a space which can be used as an alternative to residential care support by utilising the 24 hour care and support which schemes can provide across a range of residents.
- 1.3.4 The purpose of the De Wint Court project is to deliver ECH provision in the City of Lincoln District. CoLC has committed to the development of Extra Care Housing at De Wint Court, Bowden Drive, Lincoln. Their proposal is to demolish an existing care home and replace it on the existing site with an extra care facility comprising 70 extra care apartments, a mix of 20 x 2-bed and 50 x 1-bed apartments, with associated facilities to support independent living and encourage community involvement. LCC residents will be able to access its care contracts both via the Wellbeing service as well as through a range of options by which the County Council supports people including, but not exclusive to, block contracted homecare, self-funded home care, Direct Payments, Personal Health Budgets and whatever other options are developed over time. This care and support will be there to meet identified needs within a joint Care and Wellbeing Vision which is included in Appendix A. A draft Nominations Process has been drawn up and is also

included at Appendix A. Joint workshops will develop the practical delivery of the Care and Wellbeing Vision, the allocations panel and nominations process for this project.

1.3.5 Construction is planned to start on site in October 2019 for completion in November 2020. LCC is proposing to purchase nomination rights on a minimum of 35 units with potential access for all 70 units; the funding model for this is set out later in this report. The project aims to reduce the long term costs of care provision, as cost avoidance, and provide choice for older people, in line with the LCC strategy, the benefits of which are highlighted below. This will ensure people with care needs have alternative choice options to traditional residential support whilst giving affordable options for local people to remain in their local communities. The provision is not aiming to generate profitable income.

1.3.6 Existing provision and estimated need of specialised housing – City of Lincoln data from Housing LIN

The following table summarises the current profile of older people's housing in CoLC:

Housing for Older People	Current provision is in line with the national average. Currently ranked 163 out of 326 local authorities for older people's housing (social rent). For private retirement housing, current provision is above the Greater Lincolnshire average and in line with national average. Ranked 181 out of 326 authorities for private sector retirement housing.
Housing with Care	Current provision is above Greater Lincolnshire average but below national average for both housing with care for rent and for sale.
Residential Care	Current provision is significantly above both the Greater Lincolnshire and national average. Ranked 15 out of 326 authorities.
Nursing Care	Current provision is significantly above both the Greater Lincolnshire and national average. Ranked 5 out of 326 authorities.

The table below shows a summary of the **current** provision of older people's housing in the CoLC District, the projected need and the shortfall/net need.

This project will aim to address the projected provision for Social (rent) in the Housing for Older People section and the Housing with Care section, highlighted in red below.

Type	Current provision	Projected provision required				
		2018	2020	2025	2030	2035
		Units/Beds	Units/Beds	Units/Beds	Units/Beds	Units/Beds
Housing for Older People						
Social (rent) Units	623	578	618	764	892	1044
<i>Net need</i>		-45	-5	141	269	421
Private(for sale) Units	165	193	206	255	297	348
<i>Net Need</i>		28	41	90	132	183
Housing with Care						
Social (rent) Units	47	95	106	143	177	216
<i>Net need</i>		48	59	96	130	169
Private(for sale)Units	10	11	14	28	46	72
<i>Net Need</i>		27	40	88	149	230
Residential care Beds	537	315	324	364	383	403
<i>Net need</i>		-222	-213	-173	-154	-135
Nursing care Beds	631	315	331	393	440	495
<i>Net need</i>		-316	-300	-238	-191	-137

Meeting the need for housing with care

Due to the need for housing with care having already been recognised across the county, partnership projects are already in train with several different District Councils. These projects are partnerships between the Council and the relevant District Council, whereby the District Council acts as the lead and will recover the income through its housing revenue account. However, where the District Council does not have such an account (East and West Lindsey District Councils), a different approach is required.

Need

The Housing LIN report October 2018 summarised that, for the City of Lincoln District, there is a predicted requirement for an increase in housing with care. This was with a focus on units for rent. The projected net need shortfall for the District is tabled in the report as follows:

	Current Provision	2018 Units	2020 Units	2025 Units	2030 Units	2035 Units
<i>Housing with Care</i>						
Social (rent)	47	95	106	143	177	216
Net Need		48	59	96	130	169
Private (for sale)	10	11	14	28	46	72
Net Need		1	4	18	36	62

The De Wint Court project proposed by CoLC supports the short-term need illustrated in the above table, by delivering 70 units for Extra Care. See Appendix B for site specific drawings.

1.3.7 Benefits and Risks

The Council uses a continuum of 5 levels for risk appetite⁶ and corporately the Council takes a 'Creative and Aware' approach, which is summarised as being *'creative and open to considering all potential delivery options, with well measured risk taking whilst being aware of the impact of its key decisions; a 'no surprises' risk culture.'* This is deemed as a suitable risk appetite level for this project.

1.3.8 The aim of ECH is to provide high quality housing, support and care services which enable, support and encourage people to live independently for as long as they wish to do so. The provision of Extra Care Housing avoids admission to hospital, increases the bed capacity within hospitals, increases the number of patients discharged from hospital, and decreases those who may have a need for residential care.

Below is a list of the identified key benefits and risks of this project:

Benefits	Risks
<ul style="list-style-type: none"> • Additional housing contributing to the current and projected needs • Reduction in the long term costs of care provision • Strengthening the partnership with CoLC • Availability of suitable housing with the most appropriate care provision • Multiple care needs can be managed on one site • Decreased risk of service users going 'missing' with ability to monitor location • Option available for one care provider managing the site care needs • As older people are particularly prone to the effects of excess cold, they will benefit from new energy efficient accommodation • Opportunity for added social value through developing a workforce development plan 	<ul style="list-style-type: none"> • Creating too much accommodation capacity compared to demand • Not managing demand and nominations • Service users do not want to move to the site • Accommodation provision is over-subscribed and older accommodation is no longer desirable • Accommodation design is not flexible enough for multiple needs • Site design is not sufficiently flexible to facilitate one and/or multiple care providers • Negative reaction from the local community and issues surrounding planning permission

⁶ The 5 levels are: Averse, Cautious, Creative and Aware, Opportunist and Mature (Hungry).

<ul style="list-style-type: none"> • Bringing a vacant site back into use, enhancing the local community • Promote independence for residents and other service users • Encourage active lifestyles and social contact for residents and other service users • Offer a living and care environment which has a positive effect on people's health and well-being and prevents or reduces the need for health care interventions • Offer choice and self-direction or co-production of services for residents • Be flexible in its style of service delivery so that services respond well to people's changing needs • Release of local housing for rent and sale to benefit families • Moderating the burden of family members caring at home • New facilities developed in the local area for wider community use • Couples can avoid being separated as they can live together in EC accommodation even if only one is in need of care 	
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1.4 Potential economic benefits

- Additional use of, and income to, local businesses e.g leisure centre, cafes, bus service.
- Additional employment opportunities e.g. on-site management/concierge provision, care provision, building construction, site maintenance. Sheltered and extra care housing are both local employers. Each new extra care housing scheme of 250 units creates approximately 65 permanent staff (ARCO data, 2016).⁸
- Greater use of community facilities, thus supporting their longevity (e.g. GP surgeries).
- Residents providing volunteering in the community, with time banks, fundraising and befriending.
- Facilitates downsizing to more suitable housing, thus freeing up larger homes for the choice-based letting and/or sales markets.
- Delays and reduces the need for primary care and social care interventions including admission to long term care settings and hospital admissions. Unplanned hospital admissions reduce from 8-14 days to 1-2 days. Over a 12 month period total NHS costs (including GP visits, practice and district

nurse visits and hospital appointments and admissions) reduce by 38% for extra care residents. Routine GP appointments for extra care residents fell by 46% after a year. Falls rates in extra care housing measured at 31% compared to 49% in general housing.⁷

- The national financial benefits of capital investment in specialist housing for vulnerable and older people have been examined by Frontier Economics in 2010. They compared the net capital cost of developing specialist housing over general housing, with the calculated net benefit of a person living in specialised housing converted to the net present value of these benefits over the 30 year minimum lifetime of the building. They found an average net benefit of £444 per person per year. This was primarily driven by reducing reliance on health and social care services. The total net benefit for older people is greater than for any other client group due to the high numbers of older people.⁸
- Research by the Strategic Society found that a new specialist retirement housing unit may result in the savings to the state, per person, as set out below. In addition to savings to health and social care, also identified is the impact of new retirement housing to release housing stock onto the market and enabling younger people to get on the housing ladder and to fund their housing and care costs in retirement⁸:
 - Health and care needs £9,700
 - Local authority social care entitlement £18,600
 - First time buyers and future retirement wealth £54,800
 - Total £83,100
- For older people moving from the private rented sector to a rented sheltered housing property, it is estimated that the saving would be between £5,500 and £5,800 per year.⁸
- Limiting the demand on Housing Benefit – not all residents in a scheme will be in receipt of housing benefit and this creates additional checks and balances due to self-paying residents monitoring and keeping a downward pressure on rents and service charges, helping ensure they only cover the full costs. Compared to other groups, the average Housing Benefit spend per annum is around £5,200 per older person unit compared to £9,000 per working-age unit.⁸
- People in extra care housing can potentially use less care hours than if in the community, for example if meals are provided by the scheme, less care hours may be required in preparing food etc.
- Additional efficiencies can be gained by delivering care to a number of people on one site reducing travel and mileage costs, associated with domiciliary care in the community, and giving increased flexibility in the delivery of that care.
- Accommodation is economic to heat and is of an appropriate and manageable size.

⁷ Holland, C, (2015). Collaborative Research between Aston Research Centre for Healthy Ageing (ARCHA) and the Extra Charitable Trust. Birmingham: Aston University. www.aston.ac.uk/lhs/research/centres-facilities/archa/extracare-project/

⁸ Source – The Value of Sheltered Housing report, Jan 2017, James Berrington – Commissioned by the National Housing Federation; http://s3-eu-west-1.amazonaws.com/pub.housing.org.uk/Value_of_Sheltered_Housing_Report.pdf

1.5 Potential individual benefits

- Support and maintain independence through the provision of accommodation options, enabling personal choice
- Provide peace of mind, safety and security for vulnerable older people
- Improved physical and mental health
- Maintain and develop links with the community
- Maximise incomes of older people (includes benefits income) and reduce fuel poverty
- Environment is more likely to be free from hazards, safe from harm and promotes a sense of security, enabling movement around the home, including to visitors
- On-site support available

1.6 Potential scheme specific benefits

- An existing capital funding commitment of £3.22m from Homes England
- Land already in the ownership of CoLC and highly developable
- A very attractive setting with good access to local amenities
- A balance of both one and two bedroom apartments
- Extensive communal facilities designed to be attractive, welcoming and flexible in their use
- Excellent day-to-day services ensuring that the quality of the scheme environment and service offer will remain very high
- Support and care services which can be targeted to those who need them and can flex with people's changing circumstances
- A genuinely affordable proposition with a focus on great value for money

1.7 Market Sufficiency and Competition

1.7.1 The development and delivery of housing with care typically involves partnerships which include a mixture of local authorities, funding organisations, architects, construction companies, housing associations, private landlords and care providers. There is continuous work and analysis needed to fully understand Lincolnshire's market of those parties willing and able to deliver the county's housing with care needs, and in particular the scale of housing associations in this regard. Indications to date, through liaison with providers and experiences of other local authorities, are that housing providers are looking to enter into the county. The county has an issue regarding the low sale and rental value of property compared to other areas of the UK, which can affect the willingness of organisations to develop new property.

1.7.2 Evidence of other local authorities' work

There are numerous examples of other local authorities taking the same approach, including the following:

1.7.3 Nottinghamshire

£8 million Housing with care facility = 60 apartments

This is a partnership development similar to the model the County Council intends to use when working with District Councils and Housing Associations. Newark and Sherwood District Council has developed the facility through the Housing Revenue Account (HRA) and Nottinghamshire County Council has invested in return for nomination rights. The 60 apartments give older people, particularly those with low level dementia, the opportunity to live independently and safely. The scheme is the result of a successful bid for £1.5 million of funding from the Department of Health's Extra Care and Support Programme, administered by Homes England.

1.7.4 Powys

£7.5 million Housing with care facility = 48 apartments

The state of the art £7.5 million development in Newtown, part funded by a £4 million Social Housing Grant from the Welsh Government, has been developed by Wales and West Housing in partnership with Powys County Council. Wales and West Housing funded the remainder with £3.5 million. 48 energy efficient apartments available for affordable rent.

1.7.5 Derbyshire

£9.1 million Housing with care facility = 53 apartments

Geared to the needs of people over 55, Thomas Fields, a brand new £9.1 million facility incorporating 53 two-bedroom apartments, a residential care block for people with dementia, as well as communal facilities, is currently under construction on Brown Edge Road in Buxton. Seventeen of the flats will be available for rent, 14 for sale under shared ownership arrangements and 22 for outright sale. The project is being carried out for a partnership comprising Housing & Care 21, Derbyshire County Council and community regeneration specialist Keepmoat. Communal facilities within the new building will include a restaurant, hair salon, residents' lounge, a well-being suite, hobby room, laundry, and gardens for residents and their guests to enjoy. The residential care unit will incorporate 20 en-suite rooms available through Derbyshire County Council.

1.8 Delivery model and vehicle

- 1.8.1 District Councils with HRAs are responsible for social housing stock and able to rent out domestic properties, retain the revenue received in rent in order to plan and provide services to current and future tenants. District Councils are able to deliver their own projects without relying upon additional partners. This helps to inform which delivery option is more suitable. CoLC holds a HRA, and as such can apply for funding through Homes England, deliver and operate its own schemes.
- 1.8.2 In accordance with LCC's direction of travel and appetite for delivering ECH, the best delivery method has been sought to ensure that LCC is legally in a safe place, to provide best value for money across the county and enrich the lives of as many county residents as possible. Throughout the last 12 months the programme board have been developing an understanding of

delivery options that will facilitate partnering with District Councils and Housing Associations (HAs). Advice and support has been sought from Legal Services Lincolnshire (LSL) and external legal advisers, Bevan Brittan.

- 1.8.3 From the four options listed below, a shortlist of two vehicles for partnering with District Councils and Housing Associations has been identified: 1) a funding agreement and 2) a 'Hamburg' Collaboration co-operation agreement. Both options enable the Council to enter into agreement with partners.

Option 1

Do nothing and allow the market to deliver the needs of the county, using the Council's market position statement and a delivery plan as their guide.

Option 2

Deliver identified projects via the districts, alongside Housing Associations and Registered Providers who have already formed a robust business case to prove requirement, purchasing nomination rights at an agreed level through a funding agreement.

Option 3

Deliver identified projects via the districts, alongside Housing Associations and Registered Providers who have already formed a robust business case to prove requirement, purchasing nomination rights at an agreed level through Hamburg co-operation agreements.

Option 4

Deliver wholly as Lincolnshire County Council through the Property Company.

1.8.4 **Option 2 - A funding agreement**

A funding agreement for nomination rights provides a simpler approach to partnering. The expectations from the partner and the commitment from LCC are far fewer. The partner sets up an allocation panel, a decision making body comprising a representative from:

- Housing Association (HA) or District Council
- Adult Social Care (Local Social Worker)
- Care provider
- Health

1.8.5 **Option 3 - Hamburg Collaboration co-operation agreement model**

Whilst considering the current live project with CoLC, the legal requirements of the Hamburg Collaboration co-operation agreement model were reviewed. The model requires LCC to evidence true collaboration with CoLC throughout the process, during the pre-procurement, procurement and eventual running of the Extra Care facility.

1.8.6 The programme team has considered LCC's ability to provide evidence of true collaboration, reviewed organisational processes for void management and the appetite for financial risk of voids. The conclusion is that the Hamburg model is not the correct vehicle for the current live project with CoLC. However, the model is one that could be used moving forward with planning from the outset to ensure true collaboration, with the shared void responsibility as one of the strands of evidence of collaboration, although not necessary to the process.

1.8.7 Typically a panel will meet on a regular basis to review all applicants registered for the scheme; along with a review of the composition of the high, medium and low care and support needs against the individual scheme's target. This makes sure that a combination of people, carer and place needs is considered when allocating accommodation. This panel would be similar for the Hamburg model. In addition to scheduled panel meetings, a virtual panel will be called immediately where a property becomes available to allow the empty home to be promptly returned to use. See Appendix A for the draft Nominations process.

1.8.8 Risks and Opportunities

The risks and opportunities are set out below.

1.8.9 A funding agreement

Risk/Opportunity	Benefit	Disbenefit
'Bare' nomination rights. Rights given to place on allocations panel for all of accommodation	Tried and tested with certain HAs. 100% influence on all allocation panels thereby giving LCC clients more chance of a place	Requires discipline through staff management and governance and processes
Simple legal agreement	Deliverable, more achievable involving less time/cost from Legal teams and operational teams	
Longevity	Commitment with RP to keep accommodation in desirable state to retain clients	
Procurement compliance	A simple Funding Agreement securing bare nomination rights is not covered by the procurement rules. No procurement challenge	

1.8.10 'Hamburg' Co-operation Agreement

Risk/Opportunity	Benefit	Disbenefit
Pooled resourcing of delivery and operation of the scheme	More collaborative working with partners	Financial cost and need for closer involvement in delivery to evidence

		collaboration
Nomination rights available with specific number of places guaranteed.	Guarantee of specific number of places as per legal agreement but no more	Cost of void for period of time determined in legal agreement – potential cost to LCC revenue budget
Complicated legal agreement with evidence required throughout lifetime of contract	Legally stronger as a guarantee of places	Delivery more expensive by involving more time/cost from Legal teams. Long-term revenue cost for operational staff to ensure no voids
Procurement compliance	Co-operation arrangements between Councils are exempt under Regulation 12 of the Public Contracts Regulations 2015. No procurement challenge	
Longevity		Raised risk of voids once building becomes tired and better options are available in the market

1.8.11 LCC Prop Co.

Risk/Opportunity	Benefit	Disbenefit
Control of development	LCC can determine the scheme design and provision	
Capital		<p>The Prop Co would need to be a Homes England (HE) delivery partner to access HE grant funding; delivery partner status can only be achieved once the company has become a registered provider</p> <p>LCC would need to loan the company</p>

		capital for the development. A 4 bed scheme would cost in the region of £7million requiring a loan of £4.6 million from LCC
Speed of delivery		Estimated to be a minimum of two year lead in to commence construction

1.8.12 Recommendations

It is recommended that LCC progress with funding of the De Wint Extra Care Housing Scheme in accordance with Option 2. The inherent financial benefits of the approach in Option 2 (Funding Agreement) are as follows:

1.8.13 No void costs

In previous models of Extra Care Housing the agreement has included risk agreements that provided the Housing Provider with assurance that vacant properties would be filled within the specified period with units able to remain vacant for a limited period of time before additional cost become due.

The use of Capital Reserves as a financial contribution to any proposed schemes can be done so on the basis that the contribution allows Lincolnshire County Council to place service users of their choosing within a pre-agreed proportion of units over a pre-determined number of years without recourse to void costs.

1.8.14 Diversions from Residential Placements

The availability of additional Extra Care units directly funded via Capital Reserves allows for an additional number of services users who would otherwise be placed in residential establishments to be supported within an Extra Care environment.

By placing within an Extra Care environment, the Council avoids expensive hotel costs that would otherwise be incurred, with costs funded via district housing benefit contributions instead. Care support via the Council's existing prime provider framework is also likely to be cheaper than existing residential care and non-care provision.

1.9 The Financial Case

1.9.1 Funding for the scheme is sourced via Adult Care Capital reserve which has been allowed to grow over a number of years as a result of grant funding awarded to the Council. The grants are specifically earmarked for use against capital investment within Adult Care with the current value of unused capital reserves totalling £11.886m as at 1 April 2019.

- 1.9.2 The financial feasibility of the project (cost versus savings) is based on the Council's bespoke Financial Feasibility Model (Appendix C). This model has been used to develop the financial models for a number of other Lincolnshire County Council housing with care projects and considers a number of options, including land acquisitions costs, numbers and types of property, number of tenants, level and cost of care and savings through diversion of care.
- 1.9.3 The Council's data as at 31 March 2019 shows that the Council is funding the care provision of 4,943 people aged 65 and over in either a residential and nursing placement or within a homecare setting (including existing extra care). The total placed in nursing and residential care homes being 2,664 and 2,279 within a homecare setting. The gross annual cost to the Council for this care provision for these areas of service in 2018/19 was £99.659m; with a net cost to the Council of £71.990m.
- 1.9.4 The financial benefits of ECH are predicated on the basis that the costs of providing care within an ECH setting are materially lower than in traditional residential and nursing settings. The expected cost for older people currently ranges from £502 to £533 per week in 2019/20, with the average annual residential care cost estimate to be £27,566 per annum. Initial analysis suggests that the gross cost of providing care within an ECH setting at 20 hours per week would be £309 per week, with an annual cost of £16,111. This represents a gross saving of £11,445 pa or 41.5% which reduces to £9,118 (33%) once the impact of income loss is taken into consideration as the average placement income within a residential setting is higher than service user contributions derived from an ECH setting.
- 1.9.5 It is important to note the following:
- The Council would lose some property related income, linked to service users residential care whereby the Council receives income related to the user's house when it is sold (including interest on the amount owed).
 - It is very unlikely that all service users accessing residential care would be willing and able to move to housing with care.
 - The savings will be focused more on new service users rather than those already in residential care, though the possibility remains that some people in residential settings may prefer to consider Extra Care.
 - Placements within an ECH setting are predicated on 33% of these placements being those diverted from a residential setting with the remainder placed via alternative community settings. This assumes that placements are split equally amongst those classified as Low, Medium or High dependency and existing care arrangements continue to be provided via the prime-provider home care contracts (for those categorised as Low and Medium). The majority of the saving will be via diversions away from residential.
 - Initial findings suggest that a £2.8m investment that allows LCC nomination rights on 35 properties supporting 53 individuals could generate an annual saving of £169,980 pa based on 2019/20 prices.

- On this basis and assuming a rate of inflation totalling 2% for the duration of the scheme, it is estimated that the total savings will equal the total value invested (i.e. the breakeven point) after 15 years. However this does not take into account the time value of the initial investment which will reduce over the same period (i.e. the value of £1 in 2019/20 will be less in future years). An analysis of future savings growth is also included within the financial feasibility model along with data from the Housing Learning and Improvement Network (LIN).

1.10 Timescales

Below is a summarised and early estimation of a potential timetable, but this would be longer if the property company was to deliver any aspect of the project, as it has yet to be set-up.

Activity/Milestone	Estimated start Date	Estimated end Date
Adult Care & Wellbeing Scrutiny	3 July 2019	3 July 2019
Executive	9 July 2019	9 July 2019
Sign Heads of Terms with CoLC	16 July 2019	16 August 2019
Sign funding agreement with CoLC	Sept 2019	
Commence development	Oct 2019	

2. Legal Issues:

Equality Act 2010

Under section 149 of the Equality Act 2010, the Council must, in the exercise of its functions, have due regard to the need to:

- * Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act
- * Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it
- * Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The relevant protected characteristics are age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; and sexual orientation

Having due regard to the need to advance equality of opportunity involves having due regard, in particular, to the need to:

- * Remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic
- * Take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it

* Encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low

The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities

Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to tackle prejudice, and promote understanding

Compliance with the duties in section 149 may involve treating some persons more favourably than others

The duty cannot be delegated and must be discharged by the decision-maker. To discharge the statutory duty the decision-maker must analyse all the relevant material with the specific statutory obligations in mind. If a risk of adverse impact is identified consideration must be given to measures to avoid that impact as part of the decision making process.

It is fair to say that the key purpose of the service is essential to enabling all those individuals who require community care services to live more independent and healthier lives. In that sense, ensuring adequate provision of suitable Extra Care Housing and associated care helps to advance equality of opportunity.

The service will not affect those with protected characteristics (age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; and sexual orientation) differentially. The facility will be available to all those who meet the applicable placement criteria regardless of protected characteristic. The nature of the service makes it more likely that adults with additional vulnerabilities or increased risk of adverse outcomes will benefit most.

An initial Equality Impact Analysis is attached at Appendix D. This will be kept under review. City of Lincoln Council is itself subject to the Equality Act duty and the County Council will use its influence to ensure equality issues are taken into account in relation to both the housing and care elements of the project as it progresses.

Joint Strategic Needs Analysis (JSNA) and the Joint Health and Wellbeing Strategy (JHWS)

The Council must have regard to the Joint Strategic Needs Assessment (JSNA) and the Joint Health & Well Being Strategy (JHWS) in coming to a decision

The Council is under a duty in the exercise of its functions to have regard to its JSNA and its JHWS. The JSNA for Lincolnshire is an overarching needs assessment. A wide range of data and information was reviewed to identify key issues for the population to be used in planning, commissioning and providing programmes and services to meet identified needs. This assessment underpins the JHWS 2013-18 which has the following themes:-

- i. Promoting healthier lifestyles
- ii. Improving the health and wellbeing of older people
- iii. Delivering high quality systematic care for major causes of ill health and disability
- iv. Improving health and social outcomes and reducing inequalities for children
- v. Tackling the social determinants of health

Under the strategic theme of improving the health and wellbeing of older people in Lincolnshire there are two particularly relevant priorities:-

1. Spend a greater proportion of our money on helping older people to stay safe and well at home
2. Develop a network of services to help older people lead a more healthy and active life and cope with frailty

The provision of Extra Care Housing will contribute directly to these priorities. It also supports the themes selected as priorities in the forthcoming refreshed JHWS; namely housing, carers, mental health, plus the cross cutting theme of safeguarding.

Crime and Disorder

Under section 17 of the Crime and Disorder Act 1998, the Council must exercise its various functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it reasonably can to prevent crime and disorder in its area (including anti-social and other behaviour adversely affecting the local environment), the misuse of drugs, alcohol and other substances in its area and re-offending in its area.

In commissioning housing and care provision that is designed to provide a supportive and safe environment that enables potentially vulnerable customers to maintain their independence for longer, the provision of Extra Care Housing may be said to contribute indirectly to the achievement of obligations under section 17.

3. Conclusion

The County Council/District Council Extra Care Housing Partnerships will enable the County Council to increase the provision of Extra Care Housing in the County to assist in offsetting medium and long term revenue cost increases. The De Wint scheme will deliver the initial need that has been identified in the Housing LIN Report.

4. Legal Comments:

The Council has the power to provide the funding referred to in the Report. The use of a Funding Agreement with bare nomination rights is compliant with the Council's procurement obligations.

Funding can be provided without state aid as it relates to services of general economic interests within the meaning of prior EU Commission decisions.

The decision is consistent with the Policy Framework and within the remit of the Executive.

5. Resource Comments:

Funding of £2.8 million for this scheme exists in the form of previously received capital grants which form part of the Adult Care Capital Programme. The County Council contribution must fall within the processes for Capital expenditure.

6. Consultation

a) Has Local Member Been Consulted?

No

b) Has Executive Councillor Been Consulted?

Yes

c) Scrutiny Comments

The decision will be considered by the Adults and Community Wellbeing Scrutiny Committee at its meeting on 3 July 2019 and the comments of the Committee will be reported to the Executive.

d) Have Risks and Impact Analysis been carried out?

An initial Equality Impact Assessment (EIA) has been completed and there has been internal and external consultation. Internally, Council staff have been sent a survey via News Lincs on 11 June 2019 and a report will be formed from the results of this survey. Externally, the People's Partnership has been consulted and they will work with groups such as Age Concern and Just Lincolnshire. Also West Lindsey District Council have a survey on their website and Twitter feed as part of the Housing LIN Phase 2 work and will share this with the County Council as part of our consultations.

These sources of information will inform future versions of the EIA as the matter progresses.

e) Risks and Impact Analysis

See the body of the Report.

7. Appendices

These are listed below and attached at the back of the report	
Appendix A	Initial De Wint Nominations process and Care Vision
Appendix B	De Wint Court Proposed Site drawings
Appendix C	LCC Financial model and Housing LIN cost benefits example
Appendix D	Initial Equality Impact Assessment form v0.1

8. Background Papers

The following background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Background Paper	Where it can be viewed
Report to Executive dated 8 April 2015 – Extra Care Housing	Democratic Services

This report was written by Kevin Kendall, Tel: 01522 553726; Juliet Slater Tel: 01522 843175; Gareth Everton Tel: 01522 554055 and Glen Garrod Tel: 01522 550808 who can be contacted by email at

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Lincolnshire Extra Care Housing Adult Care Nominations Policy

1.0 Vision

Extra care housing schemes are specialist housing provision designed to offer safe, private and secure accommodation. Service users of schemes retain the independence of having their own home whilst enjoying the benefits of having staff on hand to provide planned and unplanned care and support.

Extra care housing is considered specified accommodation under the Care and Support (Ordinary Residence) (Specified Accommodation) Regulations 2014. This means that the Extra Care Panel needs to be cognisant of the impact of nominations on ordinary residence.

The aim of extra care housing is to provide high quality housing, support and care services which enable, support and encourage people to live independently for as long as they wish to do so. The provision of Extra care housing avoids admission to hospital, increases the bed capacity within hospitals, increases the number of patients discharged from hospital, and decreases those who may have a need for residential care.

The allocation of Lincolnshire extra care housing is primarily driven by the care and support needs of applicants but will also take into account housing and social needs. It is a means of preventing residential care enabling residents to regain, retain and maximise independence.

There are a number of key principles agreed with partners involved in the Extra Care Housing Programme:

- a) promote independence for residents and other service users
- b) encourage active lifestyles and social contact for residents and other service users
- c) offer a living and care environment which has a positive effect on people's health and well-being and prevents or reduces the need for health care interventions
- d) offer choice and self-direction or co-production of services for residents
- e) be flexible in its style of service delivery so that services respond well to people's changing needs.

2.0 Nominations

A nominations agreement will need to be included in the Heads of Terms for each individual project and agreed by all parties. LCC will require a documented internal process - See Appendix 1 attached.

3.0 Allocations into individual schemes

Lincolnshire County Council will make nominations for all extra care housing schemes to the Registered Provider / Housing Revenue Account holder who will manage the individual schemes. Once a nomination is made, it will be the responsibility of the housing provider to carry out its own verification procedures before a formal offer of accommodation is made. Lincolnshire County Council, the Housing Provider and the District Council retain the right to refuse a nomination. However, if a refusal is made they will need to liaise with the Chair of the Extra Care Panel who will record the refusal and the reason for it and will write to the individual regarding the decision.

4.0 Extra care nomination criteria

The Extra Care Housing Panel will consider the suitability of an applicant for extra care housing, ensuring that the applicant meets the eligibility criteria for extra care housing.

An applicant must, at the date when the application is considered by the panel:

- a) be eligible for housing within the UK and must be able to prove their residency status; AND
- b) be at least eighteen years of age except where a Transition plan is in place. This also applies to any household members, as extra care housing is not suitable for persons under the age of 18; AND
- c) be eligible for social housing and meet the qualification criteria outlined in the District Council's letting policy; AND
- d) meet the ordinary residence criteria under the Care Act 2014; AND
- e) meet any local connection criteria set out in the lettings policy; AND
- f) be identified by Lincolnshire County Council as having a care need or a potential care need as follows:
 - i) have a formal assessed care need under the Care Act 2014 which is being met by a commissioned service;
 - ii) have an assessed care need under the Care Act 2014 which is being met by an informal carer who may not be able to continue;
 - iii) have a progressive health condition where they are not currently in receipt of care but may require this in the future as the condition progresses.
 - iv) be a carer with a son, daughter or dependent with a learning/physical disability who require care and support.

- v) have a primary health need for care and support and identified as eligible for NHS Continuing Healthcare by the relevant Lincolnshire CCG.

5.0 Local connection

In order to access extra care housing within Lincolnshire the applicant must demonstrate a local connection. To demonstrate a local connection, an applicant must satisfy at least one of the following criteria:

- a) have lived in Lincolnshire for 6 months out of the last 12 months or 3 years out of the last 5 years;
- b) have a permanent job in Lincolnshire;
- c) have a close family association (parent, adult child or adult brother/sister) who is currently living in Lincolnshire and have done so for more than 5 years;
- d) have a need to be in Lincolnshire to be near to a particular health facility for long term treatment;
- e) have a need to be in Lincolnshire to give or receive caring support.

6.0 Extra care housing panel

The Chair of the Panel will be a senior operational manager within Adult Care. Administrative support will be provided by Lincolnshire County Council and information shared in advance of the Panel (see Appendix 1 for terms of reference).

7.0 Dependency levels

The Panel should endeavor, wherever possible, to maintain a balanced community within the scheme. The balance of dependency of needs should be:

- a) 30% of residents with a low care need or a deteriorating condition;
- b) 40% of residents who have moderate care needs;
- c) 30% of residents who have high care needs or NHS Continuing Healthcare needs.

The level of need is determined by the amount of care hours required as part of an assessment by Adult Care. Residents living within extra care housing will usually have care and support needs related to social/ health difficulties, including disability; frailty; low level dementia/ cognitive impairment; mental ill health or learning disabilities. The Panel will endeavor to enable applicants to enter Extra Care accommodation at an optimum time for them.

Banding criteria

CARE NEEDS	
High	More than 10 hours per week
Medium	5-10 hours per week
Low	1-4 hours per week

SUPPORT NEEDS	
High	The entire low/medium support bands, plus: <ul style="list-style-type: none"> • Support with mental health needs, such as anxiety, depression, personality disorder • Support with dementia/cognitive needs • Financial assistance as stated in their well-being plans
Medium	The entire low support band, plus: <ul style="list-style-type: none"> • Support with contacting GP's, District Nurses, Mental Health team, Pharmacists and/or any other Health & Social Care professional. • Support with benefits. • Support with maintaining rent account. • Advocacy
Low	Daily contact via the telecom system or face to face to check on wellbeing: <ul style="list-style-type: none"> • The offer of a Well-being plan. • A Person-Centred Fire Risk Assessment • Use of the facilities provided within the scheme.

Individual care and support plans should be flexible to change over time to ensure they continue to meet the needs of the applicant and the needs of the scheme.

8.0 Maximum dependency/ risk assessment

If a resident requires care levels beyond the level that can be adequately met by extra care housing, then all agencies on the Extra Care Housing Panel should work together to suggest a more suitable option for the individual and formally notify the referrer of the outcome and suggested alternative provision.

Maximum dependency for the scheme would include:

- frequent or 24 hour care and support needs, including nursing needs, beyond the level of the care provider or support-based staff to provide;
- behaviour or condition meaning that the needs can no longer be adequately or safely be met within the scheme/their actions interfere with other residents' quiet enjoyment of their home.
- A level of physical or mental frailty which is likely to cause serious disruption or risk to other residents, including persistently intruding on others, physical or verbal aggression.

9.0 Prioritisation of nominations

There may be occasions when there are a number of referrals made at a similar time for the same scheme. In this case the panel will decide which referral to nominate by assessing if any of the individuals are in Priority need.

Individuals whose circumstances include one or more of the following may be considered in Priority need. If there were limited vacancies and more than one referral then these factors would ensure that these individuals had priority for the nomination:

- a) someone who is unable to leave hospital as they are unable to return to their current property;
- b) someone who is living in an unsuitable property and they are at critical risk of harm in their current living environment;
- c) someone who is in the early stages of a terminal illness and wishes to move to more suitable accommodation;
- d) someone who is overcrowded or under occupying in a family home;
- e) someone who is at risk of homelessness within 28 days.

10.0 Requesting specific accommodation

It will not usually be possible to request specific units within extra care housing schemes. However there may be specific circumstances where there is a need for a specific floor or apartment within a scheme. This information may be considered by the Panel as part of the nomination process when specific information is provided:

- a) establish why a particular floor is required, where there is more than one floor (all schemes will have at least one lift);
- b) establish if and why a particular flat is needed. Confirm the distinction between a want and a need;
- c) establish why a flat with full adaptations is required (input from an occupational therapist will be required to determine this need);
- d) a care needs assessment will need to be carried out by Adult Care.

11.0 Equal opportunities

The Extra Care Housing Panel is committed to providing housing services to the whole community and will not discriminate against any applicant on the basis of their ethnic origin, religion, gender, sexual orientation, disability or race. The Lincolnshire Councils value the diversity of our communities and will monitor referrals to the services to ensure that services are accessible to all members of our community.

12.0 Complaints

Complaints regarding the nominations process will be processed through the nominating organizations complaints policy. Complaints regarding decisions taken by the panel or organisations not to accept individual nominations must be made directly to the Chair of the panel who will agree which organisation is best placed to lead on the response.

13.0 Appeals

Individuals being referred to extra care housing will be entitled to appeal against decisions not to nominate made by the Extra Care Housing Panel. All appeals will be referred to the County Manager with responsibility for extra care housing. Appeals will be about the decision rather than the process. The Extra Care Housing Panel will be consulted on any appeals and their views will be taken into consideration. The Chair of the Extra Care Panel will inform the nominee regarding the appeal decision and how this decision was reached.

Appendix 1 - Extra Care Panel Terms of Reference

1. Purpose of the Panel

The purpose of the Extra Care Housing Panel is to make decisions on nominations for Extra Care Schemes, and endeavor to maintain a balance of needs within the extra care community. The Panel will maintain a waiting list of assessed referrals ready for potential vacancies within the extra care housing schemes in Lincolnshire and ensure that assessments are kept up to date i.e. reflect changing needs.

The Panel meeting is held as part of the nomination and care co-ordination process and to ensure the most appropriate use of resources before the housing provider agrees a tenancy to an individual wishing to access extra care housing. The Panel will feedback information regarding demand and community mix at various liaison meetings at forums as required.

2. Panel process

The Panel will look at referrals from people who request extra care housing using a care assessment needs application form to ensure the referrals meet the panel eligibility criteria and that reasonable preference is given to those with appropriate needs.

The Panel will make recommendations to Lincolnshire County Council, District Councils and housing providers in order to nominate to the most suitable Extra Care scheme.

The Panel must consider the need to maintain a balanced community, but should assess each applicant against the following criteria:

- a) care and support needs, and the ability of the care provider to meet those needs;
- b) housing need;
- c) ability to live in a community with others, where relevant;
- d) willingness to accept the need for supported housing;
- e) carer's needs where relevant;
- f) any other factors, which may affect the supply and demand for supported housing.

Once the Panel decides on a suitable nomination this is forwarded to the housing provider to progress. This will also require a notification to Brokerage to source the care.

The Panel is also responsible for ensuring, whenever possible, that there are assessed individuals on the waiting list for the various schemes across the County.

3. Membership

The Panel will consist of:

- a) Representative from Adult Care Operations
- b) Representative from Adult Care Brokerage
- c) Representative from the relevant (scheme specific) District Council
- d) Representative from the relevant housing provider
- e) Representative from the relevant care and support provider

The panel Chair will ensure that all relevant officers are invited to attend the meeting. Where officers are unable to attend the meeting they will arrange for a suitable deputy to attend. To be quorate all members or deputies need to be in attendance.

4. Meetings

The Extra Care Housing Panel will meet Quarterly (more often depending on the number of referrals). Extraordinary meetings can be arranged as necessary by the Panel Chair and it would be expected that the panel would meet more often when a new scheme is nearing completion.

The meetings shall be convened by Lincolnshire County Council by giving the members not less than 5 working days' notice of a meeting, unless the business to be considered is urgent.

The representatives at the meeting shall have one vote each to determine suitable nominations. In the event of a tied vote the Chair shall have a second or casting vote.

Members will be required to take an active part and should be in a position to decide whether individual referrals can fit into the balanced needs of the scheme and will also highlight any particular risks as part of an individual referral.

5. Referrals to the Panel

Referrals will usually be sent on the extra care referral form by the Adult Care worker via Mosaic. Referrals can be made direct via the individual or through a nominated Officer/ advocate via secure email. The Chair will ensure that all completed referrals are saved in a secure location. Any referrals not fully completed will be returned to the nominated officer or individual to request more details. Once the details are completed in full the Chair will pass the details to all members of the panel to be discussed at the next meeting along with any supporting social care or health assessment information. The Chair will make enquires prior to the panel meeting as to the availability of accommodation at the various schemes within the County.

If the case is considered to be too urgent to wait until the next proposed meeting then an extraordinary meeting will be called via the Chair.

6. Availability of extra care housing

The Panel recognises that the final decision as to who is made a formal offer of accommodation is made by the individual housing provider. All verification and background checking regarding the referral will be completed by the housing provider with input from the care provider / care manager as necessary.

7. Reporting

The panel will report periodically on the numbers of nominations and subsequent allocations, the number of available voids and progress of the development of the schemes to the Housing, Health and Care Delivery Group.

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CITY OF
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WORKING IN PARTNERSHIP WITH
LINCOLNSHIRE COUNTY COUNCIL

Extra Care Housing and Linked Facilities at
De Wint Court, Bowden Drive, Lincoln

CARE VISION

June 2019

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1 SCOPE

- 1.1 This document is intended to define the vision and components of the care environment and service on offer at De Wint Court. It helps to underpin the shared vision for care of CoLC and LCC and enables other key stakeholders and service providers for the scheme to develop their engagement and services within a well-defined framework.

2 KEY PRINCIPLES

- 2.1 Both CoLC and LCC have some over-arching aspirations for what the new De Wint Court will achieve. These are the key principles which both partners feel should govern the aims and operation of the scheme and its services are:
- a. promote independence for residents and other service users
 - b. encourage active lifestyles and social contact for residents and other service users
 - c. offer a living and care environment which has a positive effect on people's health and well-being and prevents or reduces the need for health care interventions
 - d. offer choice and self-direction or co-production of services for residents
 - e. be flexible in its style of service delivery so that services respond well to people's changing needs.

3 DEFINING CARE

- 3.1 CoLC and LCC define care in the extra care context in a broad way which encompasses different levels of provision and services. These divide naturally into four elements:
- a. **WELL-BEING FOR ALL** – which refers to the general character of the physical environment and the general service offer and model provided to all residents.
 - b. **TARGETED WELL-BEING** – which refers to specific and defined support services which are provided to residents identified as eligible for additional targeted support in order to promote their independence.
 - c. **PERSONAL SOCIAL CARE** – which refers to dedicated professional care services provided to those residents who are assessed as having a eligible needs, for structured personal social care in order to maintain their independence.
 - d. **HEALTH CARE** – which refers to health treatments for recognised medical conditions whether these be acute or chronic conditions.

CoLC aims to provide the first element (a) of the caring environment within the core offer at De Wint Court. LCC aims to make its well-being provider available to provide elements (b) and (c) to the residents it nominates as well as others by agreement. some residents may choose a personal budget and purchase their own care service outwith that provided by the existing provider for the area. Health care provision – element (d) - will rely on existing services in the Lincoln locality but the need for health care can impact on other aspects of care, for example targeted well-being or personal social care so this emphasises the need for flexibility in service delivery and a person-centred approach.

4 WELL-BEING FOR ALL

- 4.1 This component of the care environment will be a core responsibility for CoLC in its design, maintenance and day to day operation of De Wint Court. Meeting the costs of this important general level of physical provision, facilities and services will be met through a combination of rents, service charges and some specific charges for special services such as meals and for some social activities like outings for residents.

SPACE AND FEATURES IN THE HOME

- 4.2 These make a very important contribution to the caring environment and to well-being for residents. CoLC will aim to achieve a high-quality home environment for residents which:
- a. Is accessible, including for people with impaired mobility
 - b. Provides space for hobbies, visitors and in some instances for live-in care
 - c. Offers good levels of storage
 - d. Provides storage and charging facilities for mobility scooters and wheelchairs
 - e. Has good levels of home and scheme security
 - f. Provides the reassurance of an alarm call connection and the potential to be enhanced with other technology to help with formal care services.

FACILITIES AND SERVICES

- 4.3 The wider extra care offer for residents will be focused on well-being and include:
- a. a generally comfortable, modern and attractive environment
 - b. a scheme layout and design which helps residents to circulate easily, identify their individual homes readily and stay safe
 - c. good indoor and outdoor spaces for socialising and for activity
 - d. an operating ethos and design which promotes neighbourliness
 - e. access to affordable and nutritious meals within the scheme
 - f. trusted staff with an enabling attitude
 - g. a dedicated caretaking service
 - h. good general housing related advice and sign-posting of other services
 - i. links to the wider community and the use of space at the scheme by other local people so that De Wint Court is well integrated in its locality and its facilities are well used.

5 TARGETED WELL-BEING

- 5.1 LCC recognises that the provision of targeted well-being services for older people has good preventative benefits and helps to promote independence. It commissions a county-wide well-being service for adults over the age of 18.
- 5.2 Provisionally, it is anticipated that the targeted well-being service at De Wint Court will be provided as part of the county-wide service commissioned by LCC in line with the existing service scope and eligibility. This will provide residents living at De Wint Court targeted support where their needs are such that a well-being intervention is required over and above the base service provision available to all residents.
- 5.3 Where possible, the targeted well-being service will flex around a resident's specific and changing needs and subject to the nature of the specific Wellbeing intervention, will have a temporary duration of no more than 12 weeks. This 'generic support'

offering is geared to assisting residents through episodes of increased vulnerability. Those episodes may be linked to periods of poor health and/or medical treatment or issues connected to changes in financial circumstances or key relationships.

5.4 Targeted well-being services are likely to include:

- a. An assessment of eligible residents referred, considering both the individual and their environment, and providing clear recommendations for service delivery next steps and beyond
- b. a generic support service, tailored to each resident's needs as identified in their assessment, normally with an anticipated timeframe for intervention for up to a maximum of 12 weeks, but ensuring appropriate local support mechanisms are in place once the period of generic support has finished.
- c. 'Generic support' could include support for a wide range of requirements. Some illustrative examples are included below:
 - i. advising residents to manage changes in their general support network, including changes to their key relationships
 - ii. advising and guiding residents where relationship problems within the scheme are becoming acute, are affecting people's well-being and are beyond reasonable housing management actions
 - iii. providing additional advice or advocacy for people experiencing significant financial problems, including problems with benefit entitlement which are beyond reasonable housing management actions
 - iv. other support, advocacy or sign-posting where a higher degree of specialist knowledge and skills are required than that available in the scheme's general housing management
- d. Where necessary, assisting residents to resettle into their home after periods in hospital
- e. Where necessary, a response service to attend a resident at home upon notification to the telecare provider that the resident requires assistance. This would be subject to a financial contribution from the resident.

5.5 In addition to targeted well-being, support is provided by Adult Care key workers to eligible residents and this may include similar types of support to those referenced in paragraph 5.4, under the generic support heading. For example, supporting and advising residents to manage changes in their general support network, including changes to their key relationships.

6 PERSONAL SOCIAL CARE

- 6.1 LCC intends to nominate residents for not less than half of the dwellings available (and always 35 or more) and anticipates that most, if not all, of these residents will have a requirement for medium to high levels of personal social care.
- 6.2 LCC will commission a dedicated care provider to deliver the personal social care service at De Wint Court. Although a dedicated service, with the care provider having the opportunity to locate an operating base at the scheme, the style of service will be home care and the level of input for residents will be based on an individual care assessment and a clear care plan.
- 6.3 Residents nominated by LCC and assessed as requiring personal social care within the scheme setting will generally have their care costs funded by LCC and subject to a financial assessment in line with LCC's charging policy, by an appropriate client contribution. Other residents living at De Wint Court who were not nominated by LCC can also secure a personal care service from the dedicated care provider, which subject to eligibility may be funded in whole or part by LCC. The personal care service for eligible residents will be specified by LCC and include:
 - a. Assistance with day to day basic needs such as washing, bathing, getting up or going to bed, getting dressed and meals preparation
 - b. Liaison with wellbeing and housing management staff to make sure that a resident's needs are looked after as effectively as possible across the spectrum of provision at De Wint Court.
- 6.4 Individual residents have the right to choose an alternative care provider in circumstances where they commission and/or fund their own personal social care.

7 COLLABORATION WITH HEALTH CARE SERVICES

- 7.1 Both CoLC and LCC recognise the importance of linking service delivery at De Wint Court with the operation of health services locally. This might simply be a need to co-ordinate the input of district nursing services for some more vulnerable residents. However, it is also likely to include effective liaison with GPs or with local hospitals during periods when residents are experiencing poor health or require specific treatments.
- 7.2 Liaison is likely to relate mainly to individual resident circumstances and mainly be managed by staff charged with the targeted well-being or personal social care services.
- 7.3 It will also be an aim of the operation of De Wint Court generally for there to be standing liaison with the NHS. This should extend to a representative from the Clinical Commissioning Group (CCG) (or other representative local primary health body) attending regular meetings with CoLC and LCC to monitor the operation of the scheme.

8 SAFEGUARDING

- 8.1 Safeguarding is the responsibility of all organisations and staff involved in delivering services, be they housing management, Well-being for all, targeted well-being, personal social care or health care services, and involves ensuring that residents are not exposed to undue risk including in the home and monitoring their needs as they change.
- 8.2 LCC will oversee any safeguarding investigations and actions leading from such an investigation.

9 AFFORDABILITY AND VIABILITY

- 9.1 CoLC has promoted the development of extra care housing at De Wint Court with affordability of rents and other services as a guiding principle. The combination of rent levels and service charges for the general operation of the scheme are intended to make De Wint Court an especially competitive offer. CoLC is aiming to extend this principle to meals provision, with residents expected to pay lower prices than other users of the catering facilities at De Wint Court.
- 9.2 LCC is contributing to the scheme in the spirit of achieving good affordability characteristics. It intends to commission high quality but competitively priced targeted well-being and personal social care services. For residents whose care costs need to be met by their own resources, these will be priced fairly and competitively.

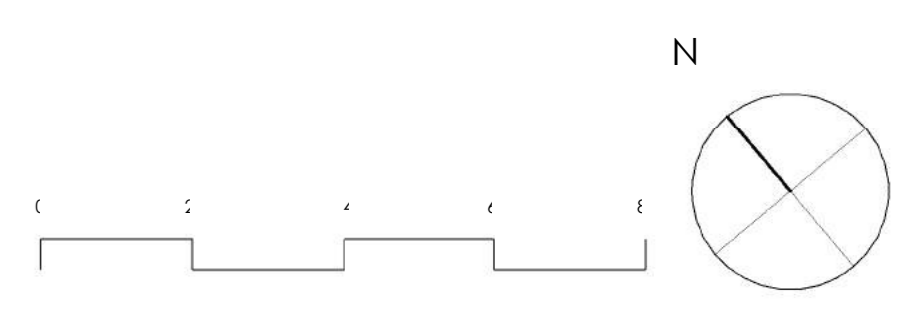
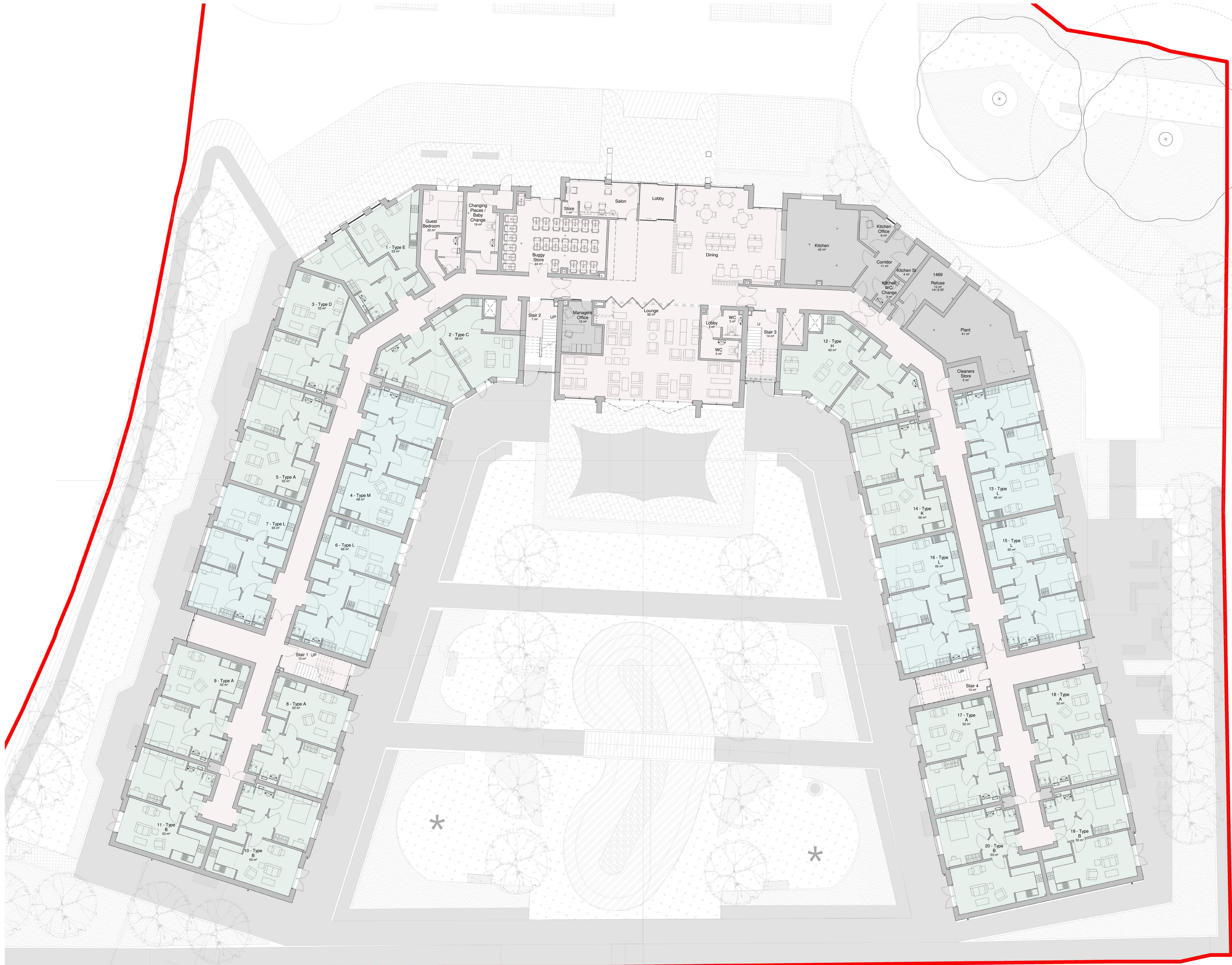
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Revision				
No.	Description	Date	By	App'd
1	Level surfaces removed and replaced by full height glazing with a metal and upper opening lights.	08/05/2018	YK	JK



wood.

City of Lincoln Council - De Wint Court

Ground Floor Plan

Date: 31.05.2018	Scale: 1:100/BA0	Project: Planning
Drawn: JP	Draw: 16048-GNA-XX-00-MP-A-1200	Rev: A
Checked: JPH		

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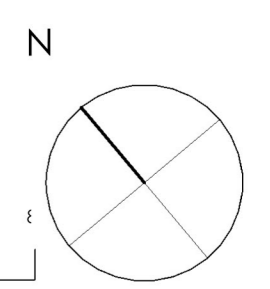
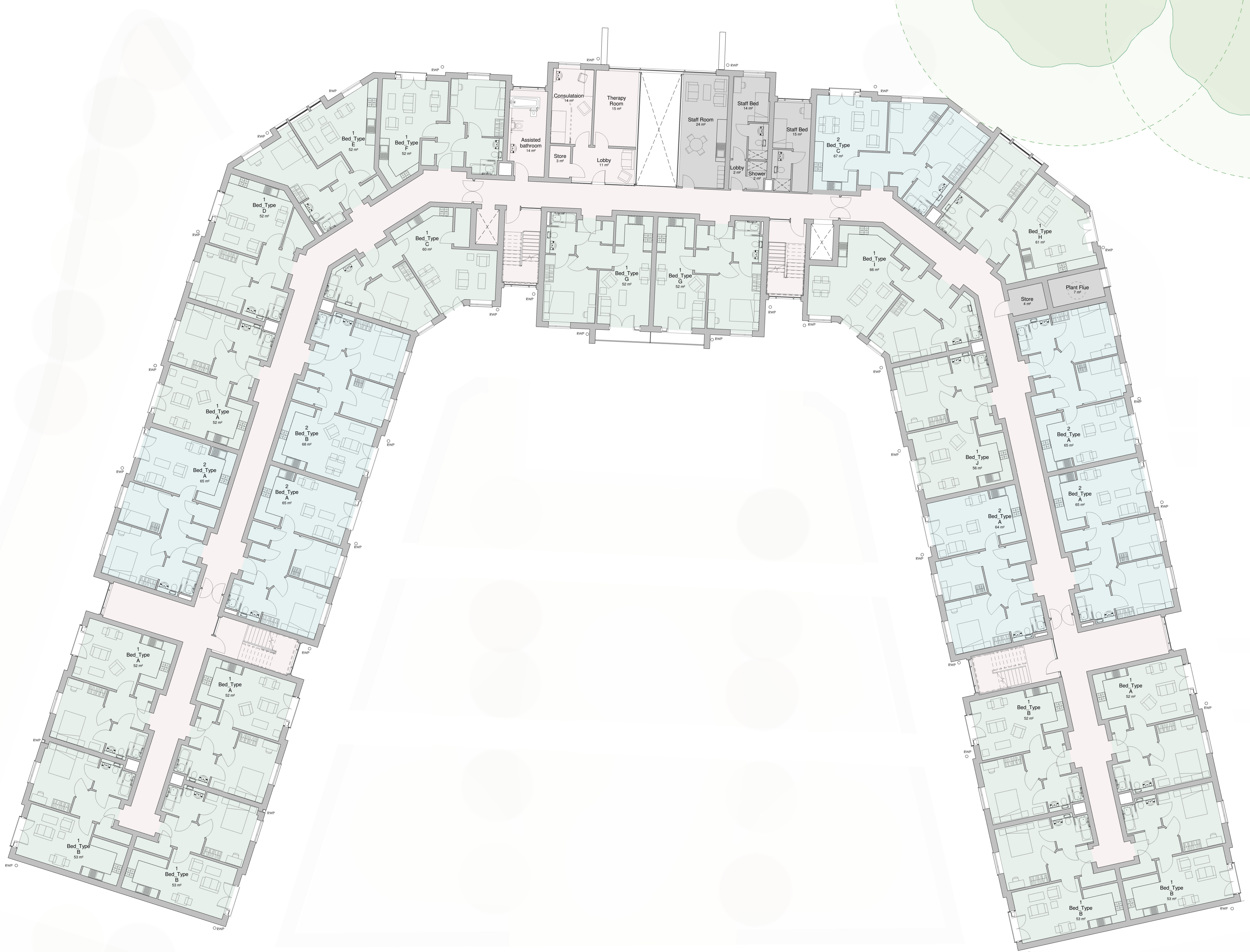
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Revision	
Rev.	Description



wood.

City of Lincoln Council - De Wint Court

First Floor Plan

Date:	31.03.2018	Scale:	1:00@AO	Project:	Planning
Drawn by:	SR	Drawn by:	SR	Rev:	
Checked by:	PL	Checked by:	PL	Rev:	

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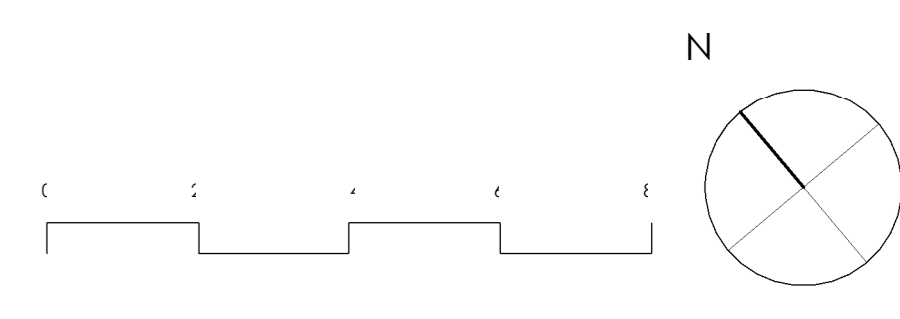
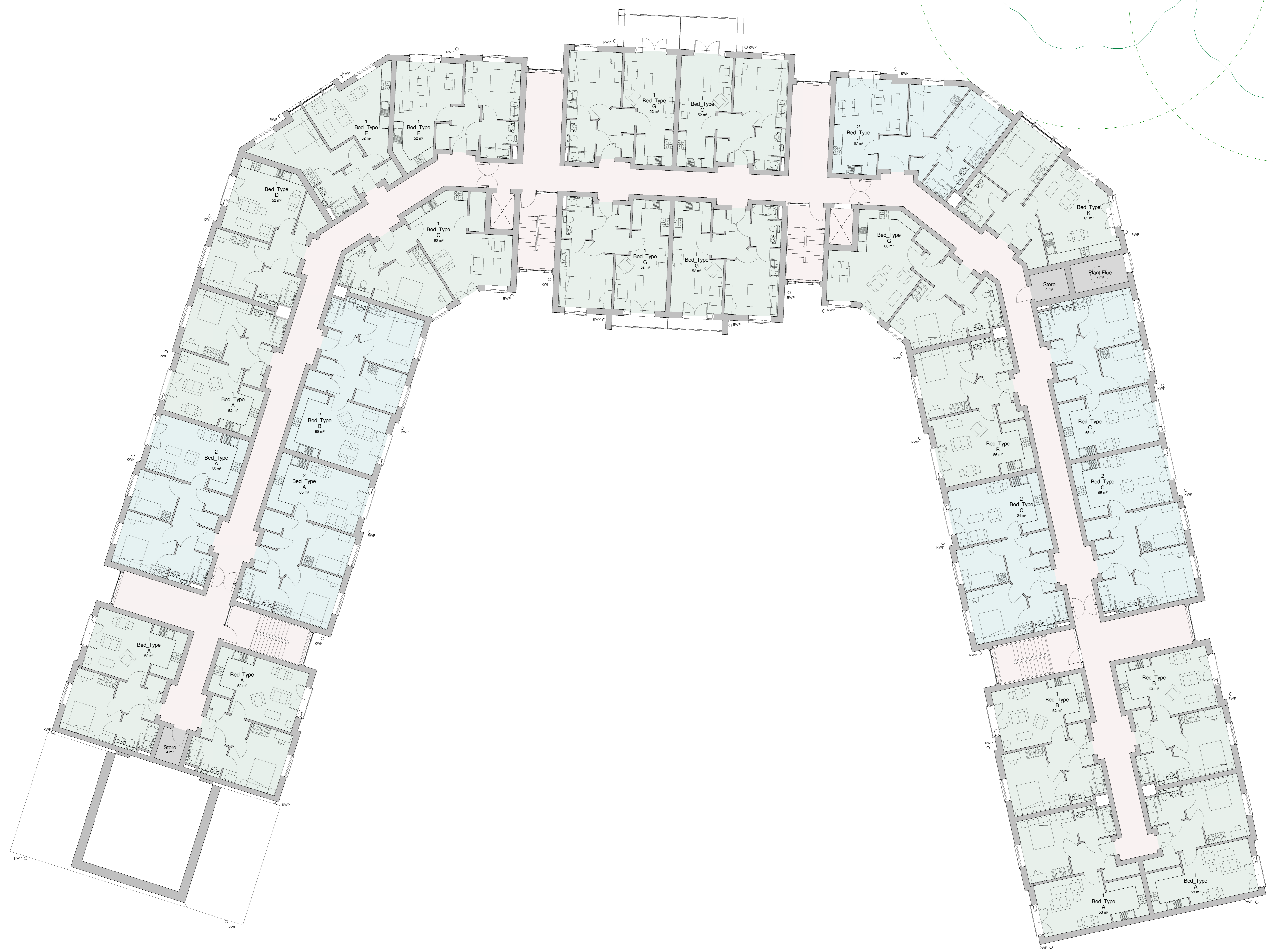
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Rev.	Description



wood.			
Project City of Lincoln Council - De Wint Court			
Title Second Floor Plan			
Date: 22.05.2018	Scale: 1:100@A0	Disc: Planning	
Drawn by: jpy	Org: 16048-GNA-XX-02-MP-A-1202	Rev:	
Checked by: jpy			

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Housing with Care Feasibility Model

Project Name: East Lindsey District Council

Local Authority Partner : Lincolnshire County Council

	No of Units	SU Per Unit
Number of OP Properties	35	1.5

LCC Inflation	2%
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Local Authority Contribution	£2,800,000.00	
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Performance Indicators	Target	Actual
Lincolnshire County Council Payback Year	5	15

Financial Summary

Financial Outputs dependent upon assumptions:	
Projected cost of extra care to LCC ASC	£ 475,282
Current cost of provision to be reprovided	£ 667,190
Projected Loss of income due to reprovion	(£ 21,928)
These figures together produce:	
Net saving to LCC ASC	£ -169,980
Saving per residential diversion	£ -3,207

Negative figure is a saving
Negative figure is a saving

Assumptions including Activity Outputs and finance outputs already summarised above

	Fixed	Variable per individual	Total all units
Hours per week as part of 24 hour cover	168		
Number of tenancy units	35		
Agreed Occupancy Support (Block)		0.5	18
Care planned share (Day Time)			151
Number of residents per property - tenants			53
Tenants - Number low care needs		33%	17
Tenants - Number medium care needs		33%	17
Tenants - Number high care needs		34%	18
Average hours low care needs		5.00	85
Average hours medium care needs		7.50	128
Average hours high care needs		20.00	360
Total care planned hours			573
Of which part of block			151
Hours bought in addition to block			422

Facility Care Service Unit Price

Assumed hourly rate - day block		£	15.45
Assumed hourly rate day spot		£	15.45

Cost to LCC ASC - Block		£	135,335
Cost to LCC ASC - Spot		£	339,948
Projected Total Cost to LCC ASC		£	475,282

Projected cost to LCC ASC		£	475,282
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Replacement of existing care provision

Residents with low and medium care needs			
Day hours for residents with low care needs		85	
Current cost per hour existing provision	£	15.45	
			£ 68,473
Day hours for residents with medium care needs		128	
Current cost per hour existing provision	£	15.45	
		45	£ 102,709

Residents with high care needs			
Number of residents with high care needs		18	
Calculated cost of residential place			£ 496,008
Average residential cost	£	27,556	

Current cost of provision to be reprovided		£	667,190
--------------------------------------------	--	---	---------

Income change for residential diversions

Number of residents with high care needs		18	
Current expected residential income from assessed charges			-£ 62,580
Expected income from diversion to home support			-£ 40,652

*Assumes income change from low & medium will be cost neutral

Projected Loss of income		(£	21,928)
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Net saving to LCC ASC		£	-169,980
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Saving per residential diversion		£	-3,207
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Residential Support Calculations

Average Expected Cost		£528.50
Income %		30%
Gross Cost	£	496,008
Income	£	-149,001
% Proportion of SU Paying Contribution		42%
Total Income	£	-62,580

Homecare Support Calculations

Hourly rate	£	15.45
Number of hours		28
Annual cost	£	22,556
Average income		24%
Total Income	£	-5,377
% Proportion of SU Paying Contribution		42%

Grey Cell = not active

Green cell = formula do not ovetype

Clear cell = assumption you can amend

LCC Initial Investment
£2,800,000.00

Year	Revenue Savings	Cumulative Savings	Repayment Year
1	169,979.82	169,979.82	
2	173,379.41	343,359.23	
3	176,847.00	520,206.23	
4	180,383.94	700,590.17	
5	183,991.62	884,581.79	
6	187,671.45	1,072,253.24	
7	191,424.88	1,263,678.13	
8	195,253.38	1,458,931.50	
9	199,158.45	1,658,089.95	
10	203,141.62	1,861,231.57	
11	207,204.45	2,068,436.01	
12	211,348.54	2,279,784.55	
13	215,575.51	2,495,360.06	
14	219,887.02	2,715,247.08	
15	224,284.76	2,939,531.83	15
16	228,770.45	3,168,302.29	
17	233,345.86	3,401,648.15	
18	238,012.78	3,639,660.93	
19	242,773.04	3,882,433.97	
20	247,628.50	4,130,062.46	
21	252,581.07	4,382,643.53	
22	257,632.69	4,640,276.21	
23	262,785.34	4,903,061.55	
24	268,041.05	5,171,102.60	
25	273,401.87	5,444,504.47	
26	278,869.91	5,723,374.38	
27	284,447.30	6,007,821.68	
28	290,136.25	6,297,957.93	
29	295,938.98	6,593,896.91	
30	301,857.75	6,895,754.66	
31	307,894.91	7,203,649.57	
32	314,052.81	7,517,702.38	
33	320,333.86	7,838,036.24	
34	326,740.54	8,164,776.78	
35	333,275.35	8,498,052.14	
36	339,940.86	8,837,993.00	
37	346,739.68	9,184,732.67	
38	353,674.47	9,538,407.14	
39	360,747.96	9,899,155.10	
40	367,962.92	10,267,118.02	
			15

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Equality Impact Analysis to enable informed decisions

The purpose of this document is to:-

- I. help decision makers fulfil their duties under the Equality Act 2010 and
- II. for you to evidence the positive and adverse impacts of the proposed change on people with protected characteristics and ways to mitigate or eliminate any adverse impacts.

Using this form

This form must be updated and reviewed as your evidence on a proposal for a project/service change/policy/commissioning of a service or decommissioning of a service evolves taking into account any consultation feedback, significant changes to the proposals and data to support impacts of proposed changes. The key findings of the most up to date version of the Equality Impact Analysis must be explained in the report to the decision maker and the Equality Impact Analysis must be attached to the decision making report.

****Please make sure you read the information below so that you understand what is required under the Equality Act 2010****

Equality Act 2010

The Equality Act 2010 applies to both our workforce and our customers. Under the Equality Act 2010, decision makers are under a personal duty, to have due (that is proportionate) regard to the need to protect and promote the interests of persons with protected characteristics.

Protected characteristics

The protected characteristics under the Act are: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation.

Section 149 of the Equality Act 2010

Section 149 requires a public authority to have due regard to the need to:

- Eliminate discrimination, harassment, victimisation, and any other conduct that is prohibited by/or under the Act
- Advance equality of opportunity between persons who share relevant protected characteristics and persons who do not share those characteristics
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The purpose of Section 149 is to get decision makers to consider the impact their decisions may or will have on those with protected characteristics and by evidencing the impacts on people with protected characteristics decision makers should be able to demonstrate 'due regard'.

Decision makers duty under the Act

Having had careful regard to the Equality Impact Analysis, and also the consultation responses, decision makers are under a personal duty to have due regard to the need to protect and promote the interests of persons with protected characteristics (see above) and to:-

- (i) consider and analyse how the decision is likely to affect those with protected characteristics, in practical terms,
- (ii) remove any unlawful discrimination, harassment, victimisation and other prohibited conduct,
- (iii) consider whether practical steps should be taken to mitigate or avoid any adverse consequences that the decision is likely to have, for persons with protected characteristics and, indeed, to consider whether the decision should not be taken at all, in the interests of persons with protected characteristics,
- (iv) consider whether steps should be taken to advance equality, foster good relations and generally promote the interests of persons with protected characteristics, either by varying the recommended decision or by taking some other decision.

Conducting an Impact Analysis

The Equality Impact Analysis is a process to identify the impact or likely impact a project, proposed service change, commissioning, decommissioning or policy will have on people with protected characteristics listed above. It should be considered at the beginning of the decision making process.

The Lead Officer responsibility

This is the person writing the report for the decision maker. It is the responsibility of the Lead Officer to make sure that the Equality Impact Analysis is robust and proportionate to the decision being taken.

Summary of findings

You must provide a clear and concise summary of the key findings of this Equality Impact Analysis in the decision making report and attach this Equality Impact Analysis to the report.

Impact – definition

An impact is an intentional or unintentional lasting consequence or significant change to people's lives brought about by an action or series of actions.

How much detail to include?

The Equality Impact Analysis should be proportionate to the impact of proposed change. In deciding this asking simple questions “Who might be affected by this decision?” “Which protected characteristics might be affected?” and “How might they be affected?” will help you consider the extent to which you already have evidence, information and data, and where there are gaps that you will need to explore. Ensure the source and date of any existing data is referenced.

You must consider both obvious and any less obvious impacts. Engaging with people with the protected characteristics will help you to identify less obvious impacts as these groups share their perspectives with you.

A given proposal may have a positive impact on one or more protected characteristics and have an adverse impact on others. You must capture these differences in this form to help decision makers to arrive at a view as to where the balance of advantage or disadvantage lies. If an adverse impact is unavoidable then it must be clearly justified and recorded as such, with an explanation as to why no steps can be taken to avoid the impact. Consequences must be included.

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Proposals for more than one option If more than one option is being proposed you must ensure that the Equality Impact Analysis covers all options. Depending on the circumstances, it may be more appropriate to complete an Equality Impact Analysis for each option.

The information you provide in this form must be sufficient to allow the decision maker to fulfil their role as above. You must include the latest version of the Equality Impact Analysis with the report to the decision maker. Please be aware that the information in this form must be able to stand up to legal challenge.

Background Information

Title of the policy / project / service being considered	Adult Care Capital Programme – Extra Care Housing	Person / people completing analysis	Colin Hopkirk/ Juliet Slater
Service Area	Adult Care	Lead Officer	Juliet Slater
Who is the decision maker?	Glen Garrod	How was the Equality Impact Analysis undertaken?	
Date of meeting when decision will be made	09/07/2019	Version control	
Is this proposed change to an existing policy/service/project or is it new?	New	LCC directly delivered, commissioned, re-commissioned or de-commissioned?	Commissioned
Describe the proposed change	<p>The council has identified the need for the development of new Extra Care Housing facilities in Lincolnshire in order to alleviate the long term pressure for the provision of residential care in the county and to increase the availability of Extra Care generally.</p> <p>This Equality Impact Analysis addresses the equalities implications of extra care housing generally and with particular reference to a proposed development at De Wint Court in Lincoln. Under the De Wint Court proposal £2.8m of the £11.886m Adult Care Capital grant would be used to enable the De Wint Extra Care Housing scheme to commence development in October 2019. The proposed De Wint ECH scheme in the City of Lincoln is a partnership between the City of Lincoln Council (CoLC) and the County Council to provide Extra Care Housing (ECH) for the anticipated demand in the City. The development will provide a total of 70 units of accommodation for a minimum 30 year period enabling choice for residents and revenue savings by providing an alternative to expensive residential care. The total cost of the development is £12 million, with the CoLC contributing £6 million, Homes England £3.2 million and the County Council £2.8 million that provides Adult Care with nomination rights on 35 units for 30 years using a process of first right of refusal with no void risk.</p>		

Evidencing the impacts

In this section you will explain the difference that proposed changes are likely to make on people with protected characteristics. To help you do this first consider the impacts the proposed changes may have on people without protected characteristics before then considering the impacts the proposed changes may have on people with protected characteristics.

You must evidence here who will benefit and how they will benefit. If there are no benefits that you can identify please state 'No perceived benefit' under the relevant protected characteristic. You can add sub categories under the protected characteristics to make clear the impacts. For example under Age you may have considered the impact on 0-5 year olds or people aged 65 and over, under Race you may have considered Eastern European migrants, under Sex you may have considered specific impacts on men.

Data to support impacts of proposed changes

When considering the equality impact of a decision it is important to know who the people are that will be affected by any change.

Population data and the Joint Strategic Needs Assessment

The Lincolnshire Research Observatory (LRO) holds a range of population data by the protected characteristics. This can help put a decision into context. Visit the LRO website and its population theme page by following this link: <http://www.research-lincs.org.uk> If you cannot find what you are looking for, or need more information, please contact the LRO team. You will also find information about the Joint Strategic Needs Assessment on the LRO website.

Workforce profiles

You can obtain information by many of the protected characteristics for the Council's workforce and comparisons with the labour market on the [Council's website](#). As of 1st April 2015, managers can obtain workforce profile data by the protected characteristics for their specific areas using Agresso.

Positive impacts

The proposed change may have the following positive impacts on persons with protected characteristics – If no positive impact, please state 'no positive impact'.

Age	<p>The demographic trends for Lincolnshire indicate that there will be greater need for ECH as the percentage of people aged 65+ increases, whilst Lincolnshire has the lowest level of ECH provision of any county in the country.</p> <p>ECH is aimed at older people but because it is a preventative model, it attracts people of varying ages, allowing individuals to remain independent for as long as possible and avoiding admission to residential care.</p> <p>Evidential research indicates that ECH is a cost effective way to deliver care in comparison to residential and domiciliary care and that ECH promotes increased wellbeing and independence.</p> <p>The proposed development at De Wint Court will be designed deliver these positive impacts , with the County Council able to nominate at least 35 individuals with a mixture of care needs.</p>
Disability	<p>Extra Care Housing as a model can be provided for people with a range of needs including those with both physical and learning disabilities which means the positive impacts of ECH are also available to people with a disability where the nature of the scheme allows.</p> <p>The DeWint Scheme is aimed at people over 55 some of whom may have a disability. Other schemes which the Council is pursuing would potentially be available to people younger than 55 but with care needs such as people with learning difficulties.</p> <p>The funding agreements which successful applicants will be required to enter into will oblige applicants to comply with the Equality Act 2010 in the delivery of ECH.</p>
Gender reassignment	<p>Extra Care Housing (including at De Wint Court) would be available to potential residents regardless of this protected characteristic. The funding agreements which successful applicants will be required to enter into will oblige applicants to comply with the Equality Act 2010 in the delivery of ECH.</p>
Marriage and civil partnership	<p>Extra Care Housing (including at De Wint Court) would be available to potential residents regardless of this protected characteristic. The funding agreements which successful applicants will be required to enter into will oblige applicants to comply with the Equality Act 2010 in the delivery of ECH.</p>

Pregnancy and maternity	Extra Care Housing (including at De Wint Court) would be available to potential residents regardless of this protected characteristic. The funding agreements which successful applicants will be required to enter into will oblige applicants to comply with the Equality Act 2010 in the delivery of ECH.
Race	Extra Care Housing (including at De Wint Court) would be available to potential residents regardless of this protected characteristic. The funding agreements which successful applicants will be required to enter into will oblige applicants to comply with the Equality Act 2010 in the delivery of ECH.
Religion or belief	Extra Care Housing (including at De Wint Court) would be available to potential residents regardless of this protected characteristic. The funding agreements which successful applicants will be required to enter into will oblige applicants to comply with the Equality Act 2010 in the delivery of ECH.
Sex	Extra Care Housing (including at De Wint Court) would be available to potential residents regardless of this protected characteristic. The funding agreements which successful applicants will be required to enter into will oblige applicants to comply with the Equality Act 2010 in the delivery of ECH.
Sexual orientation	Extra Care Housing (including at De Wint Court) would be available to potential residents regardless of this protected characteristic. The funding agreements which successful applicants will be required to enter into will oblige applicants to comply with the Equality Act 2010 in the delivery of ECH.

If you have identified positive impacts for other groups not specifically covered by the protected characteristics in the Equality Act 2010 you can include them here if it will help the decision maker to make an informed decision.

This work could assist in providing community capacity which encourages a variety of different providers and promote a market which supports the offer of a sustainable and diverse range of care and support and different types of service. It provides genuine choice to meet the needs and reasonable preferences of local people. It provides part of the response to the care options for those who self-fund or who arrange and manage their own care through Direct Payments.

Adverse/negative impacts

You must evidence how people with protected characteristics will be adversely impacted and any proposed mitigation to reduce or eliminate adverse impacts. An adverse impact causes disadvantage or exclusion. If such an impact is identified please state how, as far as possible, it is justified; eliminated; minimised or counter balanced by other measures.

If there are no adverse impacts that you can identify please state 'No perceived adverse impact' under the relevant protected characteristic.

Negative impacts of the proposed change and practical steps to mitigate or avoid any adverse consequences on people with protected characteristics are detailed below. If you have not identified any mitigating action to reduce an adverse impact please state 'No mitigating action identified'.

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Age	No perceived adverse impact.
Disability	No perceived adverse impact.
Gender reassignment	No perceived adverse impact.
Marriage and civil partnership	No perceived adverse impact.
Pregnancy and maternity	No perceived adverse impact.

Race	No perceived adverse impact.
Religion or belief	No perceived adverse impact.
Sex	No perceived adverse impact.
Sexual orientation	No perceived adverse impact.

If you have identified negative impacts for other groups not specifically covered by the protected characteristics under the Equality Act 2010 you can include them here if it will help the decision maker to make an informed decision.

Any successful developer will be expected to develop their own Equality Impact Assessment and in doing so identify whether their actions would have any negative impacts. This will provide evidence that developers are actively engaging the local community and potential future users.

Stakeholders

Stake holders are people or groups who may be directly affected (primary stakeholders) and indirectly affected (secondary stakeholders)

You must evidence here who you involved in gathering your evidence about benefits, adverse impacts and practical steps to mitigate or avoid any adverse consequences. You must be confident that any engagement was meaningful. The Community engagement team can help you to do this and you can contact them at consultation@lincolnshire.gov.uk

State clearly what (if any) consultation or engagement activity took place by stating who you involved when compiling this EIA under the protected characteristics. Include organisations you invited and organisations who attended, the date(s) they were involved and method of involvement i.e. Equality Impact Analysis workshop/email/telephone conversation/meeting/consultation. State clearly the objectives of the EIA consultation and findings from the EIA consultation under each of the protected characteristics. If you have not covered any of the protected characteristics please state the reasons why they were not consulted/engaged.

Objective(s) of the EIA consultation/engagement activity

Internal Council staff have been surveyed about likely impacts and the People's Partnership have been commissioned to engage externally including with Age Concern and Just Lincolnshire. The results of this engagement will inform future versions of this Equality Impact Analysis as the programme progresses.

Who was involved in the EIA consultation/engagement activity? Detail any findings identified by the protected characteristic

Age	See above.
Disability	See above.
Gender reassignment	
Marriage and civil partnership	
Pregnancy and maternity	
Race	
Religion or belief	

Sex	
Sexual orientation	
<p>Are you confident that everyone who should have been involved in producing this version of the Equality Impact Analysis has been involved in a meaningful way?</p> <p>The purpose is to make sure you have got the perspective of all the protected characteristics.</p>	Yes.
<p>Once the changes have been implemented how will you undertake evaluation of the benefits and how effective the actions to reduce adverse impacts have been?</p>	There will be continued Council involvement in the De Wint Court development through the nominations process and the Council's presence on the Nominations Panel. Evaluation of benefits will be conducted through this process and ongoing monitoring of the extra care programme.

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Further Details

Are you handling personal data?	<p>No</p> <p>If yes, please give details.</p>
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Actions required Include any actions identified in this analysis for on-going monitoring of impacts.	Action	Lead officer	Timescale
Signed off by		Date	Click here to enter a date.

Open Report on behalf of on behalf of Andrew Crookham, Executive Director - Resources

Report to:	Executive
Date:	09 July 2019
Subject:	Review of Financial Performance 2018/19
Decision Reference:	I017768
Key decision?	Yes

Summary:

This report:

- Describes the Council's financial performance in 2018/19;
- Identifies and explains variances from the Council's revenue and capital budgets;
- Reports the use made of flexible capital receipts to fund revenue expenditure on transformation during the years up to and including 2018/19;
- Makes proposals on the carry forward of over and under spends into the current financial year 2019/20;
- Reports Prudential and Financial Performance Indicators for 2018/19; and
- Proposes an updated Flexible Use of Capital Receipts Strategy for 2019/20.

Recommendation(s):

That the Executive:

(1) Note the carry forwards set out in paragraphs 1.135 to 1.137 of this report, which are made in line with the Council's Financial Regulations and Financial Strategy;

(2) Recommends to full Council that the proposals in paragraph 1.138, 1.139 and 1.141 relating to the treatment of underspends in excess of 1%, be approved;

(3) Note the transfers to and from reserves carried out in 2018/19 as set out in Table E;

(4) Notes financial performance in 2018/19 as set out in Table A (Key Financial Performance Measures), Table B (Revenue Budget Final Outturn), Table C (Net

Capital Programme Summary Outturn), Appendix D (Prudential Indicators) and Appendix A(1) (Flexible Use of Capital Receipts); and

(5) Recommends to full Council the updated Flexible Use of Capital Receipts Strategy for 2019/20 as set out in Appendix A(2).

Alternatives Considered:

- | | |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | <p>This report describes the actual position for the 2018/19 financial year and is factual in content and follows current Council policy. No alternatives are being considered in relation to this aspect.</p> <p>In relation to the treatment of overspends and underspends above 1.0% as set out in paragraph 1.32, there are a number of different ways these could be used. The proposed usages will help to alleviate service pressures by funding, in the main, one-off items. When coupled with the transfer of £10.174m of the overall underspend to the Financial Volatility Reserve, these support the Council's overall financial position as it prepares to make budget savings over the medium term future period.</p> |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Reasons for Recommendation:

Financial governance requires that the Executive reviews the financial performance of each year. This report facilitates this.

The treatment of underspends and overspends are considered appropriate and prudent for managing the financial challenges facing the Council.

1. Background

1.1 The County Council set its spending plans for 2018/19 against a backdrop of continued significant reductions in government funding, growing cost pressures from demand led services such as adult and children's social care, waste disposal and the Council's responsibility to pay the National Living Wage. In developing its financial plan for the year the Council considered all areas of current spending to identify cost pressures which must be funded and savings which could be made through efficiencies. This followed on from the significant savings made in previous years, some of which had impacted on levels of service provision. The budget proposals also included an increase in Council Tax levels of 4.95% (2.95% general increase, plus 2.00% for Adult Social Care) and a £5.876m one off use of reserves to support the budget.

Annual Revenue Spending

1.2 The Council spent £974.636m in 2018/19 on providing public services. This equated to £1,297 for every person in Lincolnshire.

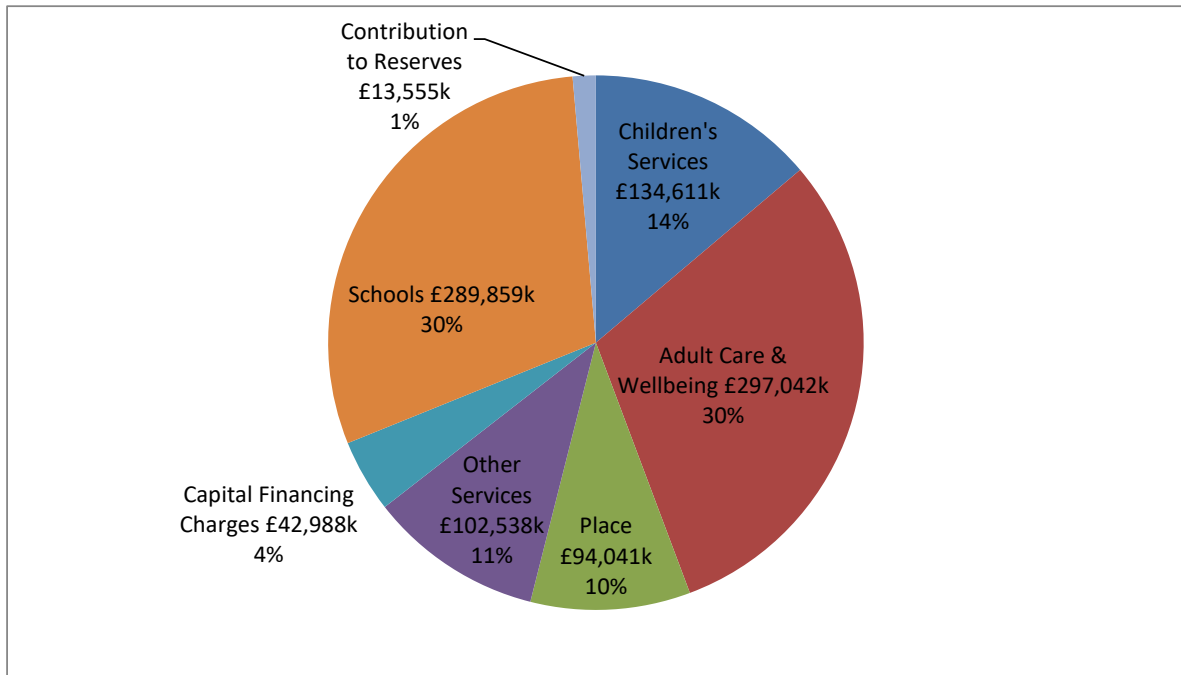
1.3 The Council has had to deal with a number of cost pressures, amounting to £26.900m in budgetary terms. These include: the impact on the Council's adult care budgets of increasing numbers of older people as well as the increase in the National Living wage; growing demand for children's social care in addition to increasingly complex cases; increased funding for essential roads maintenance and investment in information technology to improve Council services. To help counteract these cost pressures a number of one-off costs from the previous year's budget were removed from the 2018/19 budget and a range of savings were implemented across the Council including: savings from property rationalisation; restructures of some services and some growth in contributions from Adult Care service users. These reductions in the budget totalled £23.200m. The Council also planned to use £8.000m of capital receipts to fund revenue transformation projects.

1.4 When the Council set its budget for 2018/19 the financial strategy included the use of £5.876m from reserves to bridge the gap between funding and expenditure levels (£5.076m from the Council's Financial Volatility Reserve and £0.800m released from the General Fund balance). This financial year was the third year of the government's four year finance settlement which has seen the Council's Revenue Support Grant fall from £70m in 2016/17 to £34m in 2018/19. The use of reserves only offers a one off contribution towards the budget shortfall, but, it is expected that the reduction in funding levels will be permanent and the Council has now embarked on a significant budget exercise designed to bridge the gap between the Council's funding and levels of net expenditure.

1.5 The general level of expenditure in 2018/19 indicates that during the year the Council has been able to secure savings and deliver an underspend against the budget.

1.6 The Council's annual spending on providing public services is set out in the charts below and analyses expenditure both by type of service provided and by type of expenditure.

Gross Expenditure Service Analysis 2018/19 £974,636 (£000's)



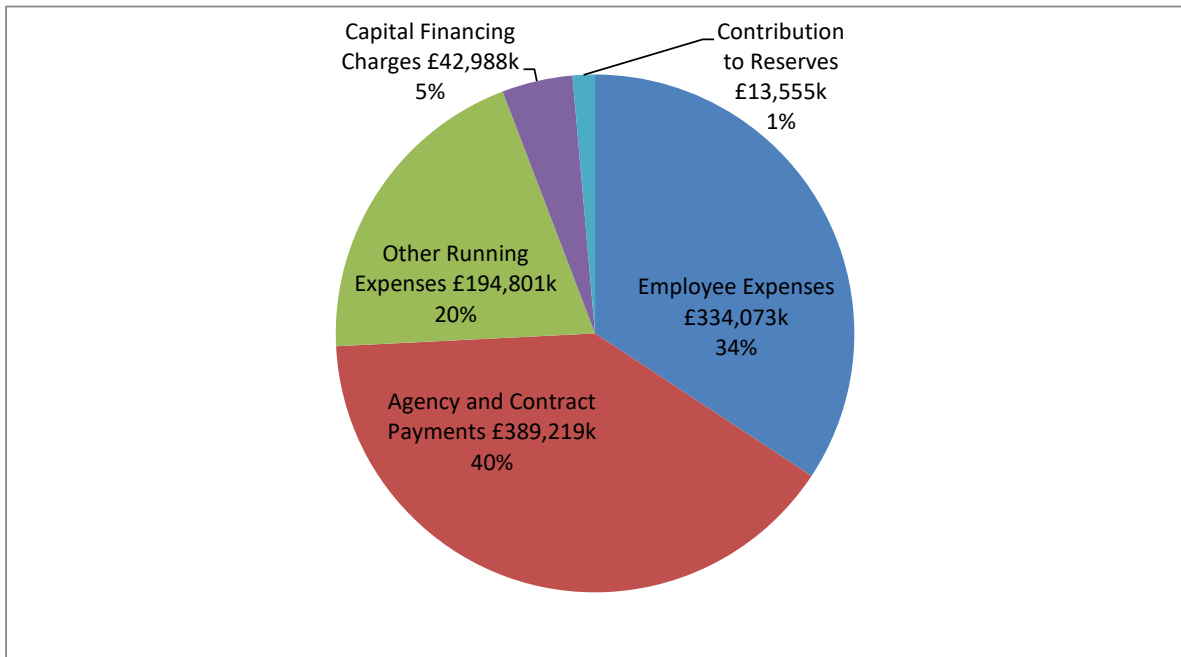
Children's Services Includes: Readiness for School, Learn and Achieve, Children are Safe & Healthy and Readiness for Adult Life.

Adult Care and Wellbeing Includes: Adult Safeguarding, Adult Frailty, Long Term Conditions and Physical Disability, Carers and Adult Specialities, Wellbeing.

Place Includes: Sustaining & Developing Prosperity Through Infrastructure, Protecting & Sustaining the Environment and Sustaining, Growing Business & the Economy and Community Resilience and Assets.

Other Services Includes: Protecting the Public, How We Do Our Business and Enablers & Support to Council Outcomes, Contingency Budgets.

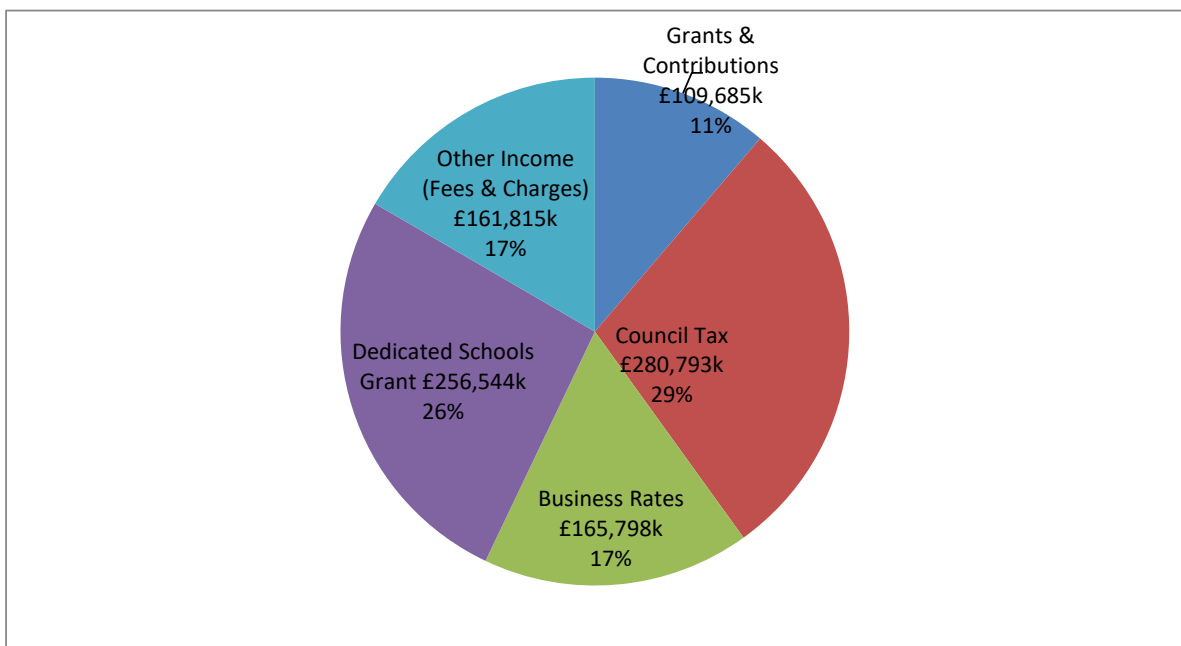
Gross Expenditure Subjective Analysis 2018/19 £974,636 (£000's)



The distribution of expenditure type differs significantly between different services. For example employee expenses comprises 56% of gross expenditure in schools, but only 26% of gross expenditure in all other (non-school) services, where agency and contracted services represents 51% of the total.

The Council's revenue spending was funded by:

Sources of Income Analysis 2018/19 £974,636 (£000's)



1.7 In 2018/19 the Council increased Council Tax by 4.95% and also saw growth of 1.27% on the number of band D equivalent properties in Lincolnshire. This in total generated an additional income for the Council of £16.440m. The Council Tax collection funds in Lincolnshire also generated a surplus in 2018/19, of a further £2.641m to the County Council.

1.8 The Council, along with its District Council partners and North Lincolnshire Council, was in a Business Rates Pilot in 2018/19. This pilot status allowed for 100% of any Business Rates growth in the year to be retained within Lincolnshire as opposed to the usual 50% retention of gains from growth. It was anticipated that the financial benefit to the Council from pilot status would be £7.480m and this was built into the budget. The outturn position for the pilot is a gain to the Council of £10.010m which is an additional £2.530m above the amount budgeted. The pilot gain will be incorporated into the Business Rates Collection Fund and paid over to the Council in 2019/20.

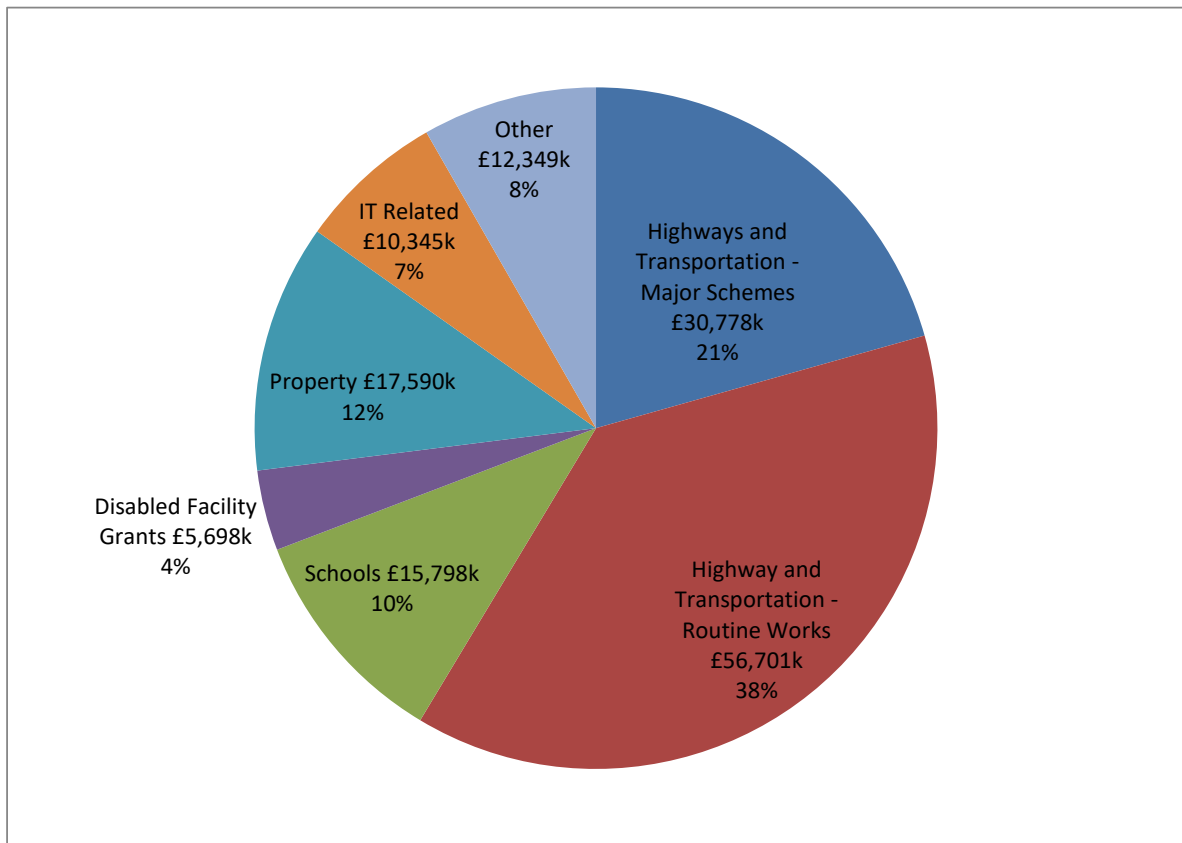
1.9 Business Rates generated £165.798m. This was made up of a number of elements: £84.245m collected from businesses in Lincolnshire; £70.543m received as a top up from central government and £11.010m Section 31 grants from central government.

1.10 The Council received no Revenue Support Grant (RSG) in 2018/19 because this grant was incorporated into the total grant paid to the Council as a result of having Business Rates pilot status during the year. A number of specific government grants were received in the year, the most significant of these being £256.544m Dedicated Schools Grant, which is used for funding education, and £32.662m Public Health Grant.

Capital spending and funding

1.11 The Council spent £149.260m on the County's major assets, in particular on roads, property and schools. The net capital spend was £43.574m, which was £50.108m less than planned. The following pie chart sets out the spending on major investment projects by service area:

Gross Expenditure on Major Investment Projects 2018/19 £149,260 (£000's)



1.12 Other includes: Economic Development, Waste, Fire and Rescue Vehicles and Equipment.

1.13 In 2018/19 expenditure was incurred on the following schemes:

- Maintenance of roads, bridges, street lighting and other highways infrastructure;
- Construction of the Lincoln Eastern Bypass road scheme;
- Construction of the Grantham Southern Relief Road scheme;
- Improvements to broadband in the County;
- Building of a new tri-service station to accommodate Police, Fire and Ambulance services;
- Expansion works to a number of schools to provide additional places for pupils, as well as a programme of general improvements to the condition of school buildings.

1.14 The Council has received grants from central government and other bodies (£105.686m) to fund: road maintenance work, the modernisation of and improvements to the condition of school buildings, and the provision of additional school places. The table below summarises how the capital programme has been financed this year:

Capital Financing Table 2018/19 £000'S

	£000's
Revenue contributions	4,976
Capital receipts	3,368
Use of reserves	1,634
Grants and contributions	119,310
Internal borrowing	19,972
TOTAL	149,260

1.15 The Council sets a voluntary limit on its total borrowing to ensure that it remains prudent and affordable over the longer term. This target is to ensure that the annual minimum revenue provision (MRP) charge plus interest on loans amount to no more than 10% of the Council's annual income. The MRP charge is the amount set aside by the Council each year as a provision to repay debt over the period when the assets purchased and built provide a benefit to the communities of Lincolnshire. The total cost of these capital financing charges for 2018/19 amounted to 5.12%.

The Council's financial standing

Key Financial Performance Measures: Financial Health and Performance

1.16 The County Council has identified a number of key indicators to monitor its Financial Health and Performance. The Council's actual performance against these key indicators for 2018/19 is shown in **TABLE A**.

TABLE A – Key Financial Performance Measures: Financial Health and Performance

REF	PERFORMANCE INDICATOR	MEDIUM TERM TARGET	2018/19	2018/19
			Estimate	Actual
1	Council tax compared with other counties	In lowest quartile of all English county councils (out of 27 county councils)	Yes	Yes 26th out of 27
2	Government grants	Lobby for annual increases in general government grants to be above the county average	Yes	Yes
3	Capital receipts	At least £8.0m per annum from 2017/18	£8.000m	£7.157m
4	Minimum Revenue Provision and Interest	MRP and Interest repayments not to exceed 10% of net income	5.62%	5.12%
5	Accounting	Unqualified external audit opinion	Yes	Not yet Available
6	General Reserves	Maintained within the range of 2.5% to 3.5% of the annual budget requirement net of Dedicated Schools Grant	Within range 3.5%	Within range 3.5%
7	Internal control	None of the processes audited receive a "no assurance" opinion from internal audit	Yes	Yes
8	Expenditure - prompt payment	At least 90% of undisputed invoices paid within terms (30 days or less)	90.00%	92.67%
9	Treasury management	Risk adjusted return comparison	Weighted Benchmark 0.66%	0.84%

The Council's Balance Sheet

1.17 The Council's Balance Sheet, as reported in the Statement of Accounts 2018/19, shows the Council's financial position as at 31 March 2019. Overall, the Council's net assets position has reduced by £100.440m from £247.800m to £147.360m. There are two key movements which have contributed to this overall change:

- The Council's long term assets (property, infrastructure, equipment etc.) have increased in value by £31.375m following the annual revaluation of part of the portfolio. This has increased the net asset value.
- The Council's long term pension liability has increased by £133.081m to £1,015.789m. This is the estimated value of the commitment to pay future retirement benefits to the Council's employees, although it does not

represent an immediate call on reserves as it is a long term commitment. The main reason for this increase is a change in bond yields which has reduced the discount rate used by the Council's actuary to value these long term liabilities. This position changes from year to year, and the increase in the liability has no impact on the Council's annual budget.

Balance Sheet Extract 2018/19 £000's	
31 March 2018	31 March 2019
£000's	£000's
1,412,418 Long Term Assets	1,443,793
323,393 Current Assets	338,887
(156,255) Current Liabilities	(144,737)
-1,331,756 Long Term Liabilities	(1,490,583)
247,800 Net Assets	147,360
289,602 Usable Reserves	288,855
Unusable Reserves:	
843,443 Re Long Term Assets	872,331
124 Re Financial Instruments	(1,366)
(882,708) Re Pensions	(1,015,789)
(2,661) Re Other	3,329
(41,802) Total Unusable Reserves	(141,495)
247,800 Total Reserves	147,360

Revenue Budget Outturn

1.18 The revenue budget outturn for 2018/19 is summarised below:

- Total service revenue spending, excluding schools, was underspent by £8.658m or 2.1%.
- There was an underspend of £5.813m on other budgets or 9.8%.
- The Council received £2.212m or 0.5% more general funding income than originally budgeted for.

1.19 This gives the Council (excluding schools) an overall underspend of £16.683m.

1.20 In addition, there was a £21.000m underspend relating to Schools. This amount will be carried forward for schools to use in 2019/20.

1.21 The revenue outturn position for 2018/19 is shown in **TABLE B** (over the page).

TABLE B – Revenue Budget Final Outturn 2018/19

	Revised Net Revenue Budget	Expenditure	Under or Over Spending	Percentage Under or Over Spending
	£'000	£'000	£'000	%
COMMISSIONING STRATEGIES				
Readiness for School	5,186	4,601	(585)	-11.3%
Learn & Achieve	34,926	36,226	1,299	3.7%
Readiness for Adult Life	6,719	5,786	(932)	-13.9%
Children are Safe and Healthy	64,640	64,088	(552)	-0.9%
Adult Safeguarding	4,502	4,972	470	10.4%
Adult Frailty, Long Term Conditions and Physical Disabilities	113,764	110,623	(3,141)	-2.8%
Carers	2,519	2,483	(37)	-1.5%
Adult Specialities	66,728	67,417	689	1.0%
Wellbeing	26,922	26,920	(1)	0.0%
Sustaining & Developing Prosperity Through Infrastructure	40,334	40,745	410	1.0%
Protecting & Sustaining the Environment	23,086	21,960	(1,126)	-4.9%
Sustaining & Growing Business & the Economy	1,248	1,290	42	3.4%
Community Resilience & Assets	10,171	10,023	(148)	-1.5%
Protecting The Public	24,768	24,679	(89)	-0.4%
How We Do Our Business	7,755	7,159	(597)	-7.7%
Enablers & Support To Council's Outcomes	42,655	38,340	(4,316)	-10.1%
Public Health Grant Income	(32,662)	(32,662)	0	0.0%
Better Care Funding Income	(40,044)	(40,060)	(16)	0.0%
Enablers & Support To Key Relationships (Devolution)	15	(15)	(30)	-200.0%
TOTAL COMMISSIONING STRATEGIES	403,233	394,574	(8,658)	-2.1%
OTHER BUDGETS				
Capital Financing Charges	50,004	40,416	(9,588)	-19.2%
Contingency	1,692	0	(1,692)	-100.0%
Other Budgets	7,906	13,373	5,467	69.2%
TOTAL OTHER BUDGETS	59,602	53,789	(5,813)	-9.8%
SCHOOL BUDGETS				
Central School Services Block (DSB Funded)	3,929	3,116	(813)	-20.7%
Early Years Block (DSB Funded)	40,858	39,091	(1,766)	-4.3%
High Needs Block (DSB Funded)	70,000	66,222	(3,778)	-5.4%
Schools Block (DSB Funded)	156,451	142,469	(13,982)	-8.9%
Schools Related Expenditure (DSB Funded)	0	0	0	0.0%
Dedicated Schools Grant	(256,252)	(256,544)	(292)	0.1%
Schools Budgets (Other Funding)	736	367	(368)	-50.1%
TOTAL SCHOOL BUDGETS	15,721	(5,279)	(21,000)	-133.6%
TOTAL EXPENDITURE	478,555	443,084	(35,471)	-7.4%
INCOME				
Revenue Support Grant	0	0	0	0.0%
Business Rates	(164,883)	(165,798)	(915)	0.6%
Council Tax	(280,793)	(280,793)	0	0.0%
Other Non Specific Grants	(8,750)	(10,047)	(1,297)	14.8%
TOTAL INCOME	(454,426)	(456,639)	(2,212)	0.5%
USE OF BALANCES				
Use of Balances - Earmarked Reserves	(23,329)	(23,329)	0	0.0%
Use of Balances - General Reserves	(800)	50	850	-106.3%
TOTAL USE OF RESERVES	(24,129)	(23,279)	850	-3.5%
TOTAL	(0)	(36,833)	(36,833)	

Children's Services – (£0.770m under budget)

1.22 Over the four commissioning strategies, Children's Services underspent by £0.770m (0.7%).

1.23 **Readiness for School** commissioning strategy underspent by £0.585m (or 11.3%).

1.24 The underspend relates to the utilisation of grant funding for the Early Years Contract in 2018/19 (£0.297m); general underspends in the running of children centres across the county and their commissioned activities (£0.161m); a lower referral in supporting out of school childcare placements due to more families accessing other early years funding e.g. disadvantaged 2 year old funding (£0.097m), and property rental income from early years providers using children centre sites (£0.030m).

1.25 **Learn and Achieve** commissioning strategy overspent by £1.299m (or 3.7%).

1.26 The main area of overspend relates to Home to School / College Transport delivery (£0.503m). The main reason for this overspend is due to the impact of inflationary pressures in contract renewals values (impacting particularly on small and medium providers), due to cost increases in staffing, fuel and insurance premiums, and the demand-led nature of the service. The home to school transport budget is also exposed to the following Lincolnshire factors: location of young people meeting the transport policy and supporting mainstream looked after children transport; an increase in the number of pupils accessing tailored establishments, such as the Pilgrim school; growth in high needs pupils, and locally agreed school reorganisations.

1.27 There had been a planned overspend on School Improvement activities (£0.360m) in response to the recent Key Stage 2 results, and the need to make immediate improvements to drive up standards in schools. The remaining overspend (£0.436m) related to Special Educational Needs service. The government ended its Reforms funding to Local Authorities in 2019/20, which recognised the programmes of change in the area of Special Educational Needs & Disabilities, however these changes have had a significant impact on the service with a 41% (or 1,354) increase in young people with an Education Health Care plan compared to the year before implementation (2013/14), therefore the higher level of costs will continue into the new financial year. The decision to not draw down reserves to meet this future cost was made based on the financial position of Children's Services overall.

1.28 **Readiness for Adult Life** commissioning strategy underspent by £0.932m (or 13.9%).

1.29 The main area of variance is for Supported Accommodation (£0.752m) for those young people of 16 and 17 years at risk of homelessness and all looked after children and care leavers up to the age of 21 years. Transformational work has resulted in a new accommodation pathway and the use of in-house provision in

Grantham (a conversion of two former fire houses) rather than a reliance on externally commissioned provision. This has enabled the service to drive down costs and achieve improved individual outcomes. The underspend is a combination of permanent savings (of which £0.300m had been put forward as a saving through the 2019/20 budget process); the cohort of young people and one-off monies earmarked from the prior year carry forward to facilitate the changing in delivery. The other main underspend relates to the additional income received by the Lincolnshire Secure Unit (£0.239m), in particular the welfare bed utilisation being greater than the income target. This has been adjusted for through the 2019/20 budget process.

1.30 Children are Safe and Healthy commissioning strategy underspent by £0.552m (0.9%).

1.31 An overall underspend (£0.041m) of looked after children services occurred. The number of looked after children where the Local Authority was the corporate parent reduced during 2018/19, however this was largely down to the transition of young people to Special Guardianship Orders (SGOs). SGOs are seen as an important option for permanency for children who need to be removed from their birth parents. The Local Authority has however faced an increase in complexity and costs of children requiring specialist support. A budget re-alignment across the demand-led services of looked after children activities will be undertaken to reflect the changing landscape. Social Care legal costs have however continued to increase due to the complexity of the cases involved resulting in an overspend of £0.589m.

1.32 A one-off underspend relates to the funding of central staffing and support costs temporarily in 2018/19 from grants (relating to commissioning and performance staff; the social care peripatetic team, and social worker recruitment (£0.668m)) rather than base budget funding to enable grant funding to be maximised. This was planned for during 2018/19.

1.33 The other largest underspend relates to the early help service. An underspend of £0.591m (7.6%) relates to staffing vacancies across the county wide service resulting from service development opportunities and holding vacancies before the conclusion of the Early Help review and geographical boundary changes. Recruitment has taken place, therefore a future underspend is not expected in 2019/20.

Adult Care and Community Wellbeing– (£2.020m under budget).

1.34 The Adult Care & Community Wellbeing (AC&CW) final outturn for 2018/19 is £212.435m, an underspend of £2.020m (0.94%) against a budget of £214.455m.

1.35 The increasing strategic importance of the Better Care Fund (BCF) has meant that the impact to AC&CW now has to be reflected in service budgets, with a detailed exercise undertaken over the summer and autumn months to incorporate all schemes funded via the BCF into the AC&CW budgets.

1.36 The BCF has a growing influence on how AC&CW pressures are funded in the Council with it being the only means in which the vast majority of pressures identified below will be funded over the next two years.

1.37 **Adult Safeguarding** commissioning strategy overspent by £0.470m (10.4%).

1.38 The final outturn for Safeguarding Adults was £4.972m, an overspend of £0.470m on a budget of £4.502m.

1.39 The majority of the overspend relates to the 2013 Cheshire West ruling regarding Deprivation of Liberty Safeguards (DOLs). Excellent progress has been made in 2018-19 with the historical backlog of applications resolved and all new applications and reviews being progressed when received.

1.40 Related demand is expected to grow further in 2019-20 but new Liberty Protection Safeguard (LPS) legislation is expected also in 2019-20 which may have an impact on future budget requirements.

1.41 **Adult Frailty, Long Term Conditions and Physical Disability** commissioning strategy underspent by £3.141m (2.8%).

1.42 The final outturn for Adult Frailty and Long Term Conditions which includes Older Persons, Physical Disabilities (PD) and Infrastructure budgets resulted in an underspend of £3.141m for 2018/19.

1.43 The Older Persons and Physical Disabilities outturn expenditure was £104.540m, an underspend of £2.533m.

1.44 Physical Disabilities service outturn was £13.738m which is an underspend of £0.607m, income received in PD was 17.8% more than budget down to significant income received from Direct Payment Audits and Debtor Income. Overall PD income was £0.400m over target.

1.45 Physical Disabilities service expenditure – pressures in Home Support due to continued growth resulted in an overspend of £0.291m, however underspends in Residential and Short Term care have helped to offset this and overall expenditure for PD was underspent by £0.205m.

Older Persons

1.46 The Older Persons outturn was underspent by £1.926m with an outturn of £90.802m. There has been a stabilisation in Direct Payment numbers for Older Persons, outturn position was £0.055m overspent due to increase in Penderels charges for managed accounts.

1.47 Long Term Residential Care outturn was £1.284m overspent and Block Beds overspent by £0.090m, however Short term care was £0.415m underspent, the average number of days in short term care has significantly reduced in the last two financial years hence the underspend. Overall Residential Based services were £0.959m overspent.

1.48 Home Based Services in Older People was £1.503 million overspent at the end of the financial year, this was due to increased demand and also payment of capacity payments. There were underspends in Transport of £0.151m, Other Services £0.028m and Day Care £0.079m.

1.49 The service has seen £5m increase in income with £42.1m compared to £37.292m in 2017/18. £0.520m additional was from Direct Payment Audit income, £4.0m was for debtor income for service users where property is included in the assessment or unpaid service user contributions.

1.50 Debtor Income included a correction to previous years debt write off and bad debt provisions which resulted in £1.1m credit and so a one off adjustment.

Infrastructure

1.51 Within Adult Frailty and Long Term Conditions there are budgets which relate to Infrastructure costs for senior management and back office staff. These were also underspent as a result of vacancies in Performance, Operations and Quality Assurance teams and some underspends in contracts such as the Sensory Impairment Contract. The 2018/19 outturn was £0.607m underspent.

1.52 **Carers** commissioning strategy underspent by £0.037m (1.5%).

1.53 The service ended 2018/19 with an underspend of £0.037m against a budget of £2.519m.

1.54 This is due to an underspend on the Carers First Contract which delivers the services for Lincolnshire

1.55 **Adult Specialities** commissioning strategy overspent by £0.689m (1.0%).

1.56 Services for Learning Disabilities are administered via a Section 75 agreement between the Council and NHS Clinical Commissioning Groups (CCGs) in Lincolnshire in addition to a small in-house element that sits outside the Section 75 agreement.

1.57 The Mental Health services are run on behalf of the Council by the Lincolnshire Partnership Foundation Trust, also by way of a Section 75 agreement.

1.58 Specialist Adult Services finished 2018/19 with an overspend of £0.689m against a budget of £66.728m.

1.59 The Learning Disabilities Services finished with a small overspend of £0.088m. Within the Learning Disability service there has been an increase in the number of complex cases entering the service for both Supported Living and Residential placements, pressures on demand have also been seen in Direct Payments, Supported Living costs have also been affected by increases in the cost of waking night services following guidance from Her Majesty's Revenue and Customs (HMRC) that employees should be paid National Living Wage for sleep in

shifts, however this has been covered by additional funding from the Better Care Fund (BCF).

1.60 Whilst growth within these areas was built into this year's budget, these additional costly packages have meant that there has been some additional pressure within 2018/19.

1.61 Income continues to increase especially with respect to direct payment refunds and increases in residential service contributions. The element of Health Care costs have also increased this year which has meant that the Council has invoiced the CCGs for a further £2.155m on top of the £11.900m already invoiced through the S75 agreement.

1.62 The Mental Health Service finished with an overspend of £0.601m, this has been down to increased numbers of service users with increasing complex needs driven largely by inpatient discharges. A considerable amount of partnership work has been done this year between the Council and LPFT to ensure that any higher than average cost placements were challenged and endorsed before they were agreed. Alongside this, work has been done to look at all high cost packages to ensure Continuing Health Care (CHC) has been applied where applicable.

1.63 **Wellbeing** was underspent by £0.001m (or 0.0%).

1.64 The Community Wellbeing strategy consists of a number of services including Health Improvement and Wellbeing, Prevention and Self-management, Housing Related Support Services for vulnerable adults, prevention and treatment for substance misuse and Sexual Health.

1.65 A number of these services are delivered as part of the Council's statutory obligation to improve the public health of local populations as per the conditions of the Public Health Grant.

1.66 The service ended 2018/19 on target with a budget of £26.922m.

1.67 The outturn was produced via a combination of overspends and underspends within the wellbeing services including Integrated Community Equipment Service (£0.444m) This was mostly offset by a number of underspends within Smoking Cessation contracts (£0.178m) and Sexual Health Prescribing contracts (£0.180m) - both underspends were due to reductions in activity within both areas.

1.68 There were also a number of staff vacancies across the service; however posts have started to be filled and will continue to do so in the new financial year.

Better Care Fund

1.69 The Lincolnshire Better Care Fund (BCF) is a framework agreement between the Council and the Lincolnshire Clinical Commissioning Groups (CCGs) and looks to pool funds from those organisations to help support the national and local objective of closer integration between the Council and the CCGs.

1.70 The total pooled amount in 2017/18 was £221.857m which included £54.817m that was allocated to the Lincolnshire BCF from the Department of Health and Social Care. This has increased to £230.391m in 2018/19.

1.71 Lincolnshire's fund is one of the largest in the country and includes pooled budgets for Learning Disabilities, Children and Adolescence Mental Health Services (CAMHS) and Community Equipment plus 'aligned' Mental Health funds from the County Council and the four CCGs.

1.72 In addition to the continuation of existing pooled funds, there are a number of other funding streams, these increases result from:

- Inflationary increases in CCG funding, and as a result in the CCG funding for the Protection of Adult Care Services.
- The addition of the Improved Better Care Fund (iBCF) funding that was announced in the Chancellor's November 2015 budget totalling £2.105m in 2017/18, increasing to £14.249m in 2018/19.
- The announcement of iBCF Supplementary funding in the Chancellor's March 2017 budget. This provided an additional £15.265m in 2017/18, this fund reduced to £9.609m in 2018/19.

1.73 Overall BCF funding from central government is expected to increase by £6.772m in 2019/20.

1.74 There is a requirement to ensure that the funding has a positive impact on performance in the areas of Delayed Transfers of Care, Non-Elective Admissions, Residential Admissions and positive outcomes following Reablement, these have been reflected in our plans.

Place (£0.822m under budget)

1.75 **Sustaining and Developing Prosperity Through Infrastructure** – commissioning strategy overspent by £0.410m (or 1.0%).

1.76 Whilst this commissioning strategy was within 1% of the budget some key variances include:

- An overspend on street lighting maintenance of £0.492m was due to increases in energy costs.
- An overspend on the Heritage budget of £0.350m as it continues to explore transition to a suitable cultural enterprise. Net spend continues to fall to £1.540m in 2018/19 from £2.300m in 2016/17.

Overall income at sites has been lower due to a change in ticket sale distribution although overall visitor numbers are above plans.

There has continued to be a small and reducing number of one off legacy costs to bring Lincoln Castle servicing and maintenance in line with policy and provide longer term efficiencies as the Heritage Service continues to implement disciplined and detailed financial and accounting processes.

- These overspends are balanced by savings on staff vacancies carried at various points throughout the year and associated supplies and services budgets. This was across highways, economic infrastructure and transport functions.
- In addition transport concessionary fares has an underspend of £0.351m (budget of £6.980m) as this area is directly affected by market activity with a great deal of volatility and change being experienced this year.
- An overspend on Winter Maintenance of £0.433m in this area has been funded from the adverse weather reserve and is therefore shown net. This overspend relates to the previous year including extra costs for gritting runs (£0.210m) and use of salt (£0.160m). Delays in the procurement of gritters have added further pressure on the leasing budget.
- A planned overspend on the cost of advance design of new schemes of £0.929m has been met by a transfer from the reserve set up for this purpose.

1.77 Protecting and Sustaining the Environment – commissioning strategy underspent by £1.126m (or 4.9%).

- Within this area the Waste Management service had an underspend of £1.294m.

This underspend is due to a mix of reduced volumes of waste to both the Energy from Waste (EfW) plant (saving £0.525m on gate fees) and to landfill (saving £0.329m). This is coupled with a reduction in spend in dry recycling (saving £0.222m). In addition to this the income received for providing electricity from the EfW plant has more than doubled to £0.687m.

- Operationally there was a compost bonus from the hot dry summer and autumn with quantities of waste being presented continuing to be down on that expected. There is also a lesser advantage from some Waste Collection Authorities reducing the collection frequency or even stopping altogether their charged garden waste collection services during the winter period.
- Mixed Dry Recycling payments continue to be lower than expected, partly due to a slight improvement in the market trackers and partly due to a slight reduction in the overall amount of Mixed Dry Recycling being collected.
- Based on forecasts made earlier in the year £0.500m has been moved to Capital for fire suppression at waste transfer stations. The budget

requirement for future years is under review to reflect the volatility of volumes and prices in the waste management environment.

- Sustainable Planning had an overspend of £0.251m. This overspend is due to a significant number of legal cases in respect of planning enforcement cases together with planning fee income being lower than originally anticipated.
- Flood and Risk Management had an underspend of £0.097m due to a reduction in our contributions as fewer minor works schemes have been completed. This underspend will be added to Reserves as part of our business as usual to meet with increases in partner funding going forward.

1.78 Sustaining and Growing Business and the Economy – commissioning strategy overspent by £0.042m (or 3.4%).

1.79 This overspend is due to overall increases in operational costs alongside a reduction in rental income for business units and lower event sponsorship.

Community Resilience and Assets was underspent by £0.148m (or 1.5%).

1.80 Budget allocated to the library service to cover Radio Frequency Identification (RfID) maintenance and software costs was not required in 2018/19 due to delays in the project.

1.81 In the Customer Services Centre there was an increase in demand during the final four months of the financial year resulting in higher than budgeted costs.

Finance and Public Protection (£5.002m under budget)

1.82 Protecting the Public – commissioning strategy underspent by £0.089m (or 0.4%).

1.83 This strategy includes Fire & Rescue, The Registration, Celebratory and Coroners Service, Safer Communities, Emergency Planning and Improving Road Safety. Expenditure in 2018/19 was £24.679m with an overall underspend of £0.089m.

1.84 Services were broadly on target to budget with the underspend mainly due to additional income in Trading Standards (£0.055m) alongside lower than budgeted legal costs across the service.

1.85 How We Do Our Business – commissioning strategy underspent by £0.597m (or 7.7%).

1.86 The income from the schools finance service was £0.120m higher following the enhancement of the service and a number of schools upgrading their service.

1.87 The Council has received £0.402m net income after costs for the recovery of duplicate payments by Meridian. This was a one off exercise.

1.88 **Enablers and Support to Council Outcomes** – commissioning strategy underspent by £4.316m (or 10.1%).

1.89 Information Management Technology (IMT) Strategy & Support have underspent by £2.488m in the current year.

1.90 The IMT budget was increased by £3.000m in 2018/19 in recognition of the increasing use of cloud services and the need to increase the capability of the retained client team.

1.91 Whilst there has been some delay in implementing these changes, the service have started with the recruitment to the team and an IMT Board has been set up, to ensure responsive decision making and improved financial management is in place. The Board will also consider the on-going revenue budget implications of capital investment in our IT.

1.92 As well as the staff recruitment, a number of projects and initiatives are under way many of which will be monitored by the IMT Board. These include:-

- Increase in broadband bandwidth for Lincoln Campus
- One off Support for windows 10 deployment
- Enhanced security monitoring service
- Serco Service Improvement programme
- IMT staff development and training programme
- Departmental process and modelling system
- Revenue costs of previous capital spend (eg migration to cloud services)

County Farms (£0.251m under budget)

1.93 This is due to increased income from the estate and the revised phasing of Archaeology works relating to the former lease of the mineral site at West Deeping where costs will be incurred during 2019/20.

Property Strategy & Support (£0.025m under budget)

1.94 The service is broadly on target but slightly underspent due to a reduction in general accommodation costs.

Commissioning (£0.391m under budget)

1.95 Commissioning has underspent by £0.339m; this is made up of £0.182m Serco abatement contract performance penalties plus an underspend on staffing costs due to vacancies of £0.157m.

1.96 The further £0.052m relates to Procurement which is required to be added to reserves as this fund is a shared resource alongside our partner bodies.

Strategic Communications (£0.081m under budget)

1.97 The underspend is due to staffing vacancies throughout the year.

Business Support (£0.057m under budget)

1.98 Business Support continue to proactively manage their budgets to reduce spend across the service.

1.99 Recruitment to fill posts is now undertaken bi-monthly to achieve savings from vacant positions and commissioned support functions were fully recharged to service areas or the Better Care Fund (BCF).

Legal (£0.738m under budget)

1.100 Legal services have achieved an additional surplus of £0.738m.

1.101 The Legal Management Board will decide on the use of any surplus at year end. In recent years it has taken a decision to redistribute the surplus in full to partner authorities in proportion to their use of the service.

People Strategy (£0.282m under budget)

1.102 This includes additional income from the 0-19 health service to support the additional work required (£0.061m); a reduction in HR activity-led budgets (£0.114m) and the reallocation of staff spending to alternative funding streams e.g. Partners in Practice.

Schools – (£21.000m under budget)

1.103 Under government regulations, schools carry forward automatically their under and over spends to the next financial year. Budgets held centrally within the ring-fenced 2018/19 Dedicated Schools Grant (DSG) were once again set prudently due to the demand-led and volatile nature of the services demands. In line with the DfE regulations any under or overspends will automatically be carried forward to the next financial year and the Local Authority will consult the Schools Forum on its use.

Other Budgets – (£5.813m under budget)

Capital Financing Charges – underspent by £9.588m (or 19.2%)

1.104 The Council's capital financing charges (debt repayment provision, borrowing interest costs, revenue funding net of interest received on cash balances) were £9.588m under budget. Slippage of the capital programme during 2018/19 reduced the need to borrow to £19.972m from £70,080m, leading to reduced interest borrowing costs of £4.433m compared to that budgeted. Interest received on cash balances was £1.272m more than forecast due to slippage on both the Capital and Revenue budgets resulting in a higher cash balance throughout the year. A revenue funding overspend of £3.368m arose as this amount was transferred to capital receipts funding to utilise capital receipts over and above the level of transformation projects funded by useable capital receipts in 2018/19.

Contingency – underspent by £1.692m (or -100.0%).

1.105 The Council has a contingency budget of £3.000m set aside for emerging pressures which may arise during the financial year. At year-end £1.692m remained, and was not required in 2018/19.

Other Budgets – overspent by £5.467m (or 69.2%)

1.106 Other Budgets were over budget by £5.295m. This comprised a number of under and overspends, the most significant being:

- The Council actually generated £7.157m of capital receipts resulting in a variance of £0.843m below the £8.000m target. This is due to some properties being on hold pending the Council's decision on extra care housing and other developments.

In accordance with the Council's Strategy on the Flexible Use of Capital Receipts, this could only be used to fund revenue transformational projects. During 2018/19 the cost of the Council's revenue transformation projects was £3.368m lower than the available capital receipts. Therefore, £3.368m was used to fund the capital programme as explained further within the Flexible Use of Capital Receipts Strategy section, paragraph 1.128, resulting in an overall overspend of £4.211m;

- The Council's insurance fund shows a deficit of £1.864m. The insurance fund provides a level of protection for risks that are retained in house for those risks which are not insured elsewhere or are as yet unknown. The deficit has arisen as a result of a number of factors. In recent years, we have seen a dramatic increase in the number of liability claims particularly relating to Highways. Our provision for claims known to us has seen a significant increase due to the amount of open claims yet to be settled. Where we have previously secured rebates on external premiums due to tendering under Long Term Agreements, our actual claims have broken the terms set out under this agreement which has resulted in the insurers pulling the renewal terms and applying additional increases above those anticipated.
- In addition to the insurance fund deficit, the Council's budget for liability insurance premium also overspent by £0.847m due to the base budget not being increased this year in the face of increasing liability as well as an increased number of claims relating to pot holes, which have been caused by worse than usual winter conditions last February/March 2018;
- Corporate and Service Redundancy is underspent by £1.059m. The Corporate Redundancy budget funds the costs associated with the staffing restructuring changes that had been approved through the 2018/19 Council's Budget. These planned changes support the Council to bring down expenditure in line with its current levels of planned income;

- National Living Wage is £0.500m underspent. This element of budget was not required this year as the actual living wage rate is lower than anticipated;
- Successful prosecution against Mid UK Recycling Ltd for breaching planning and environmental controls resulting in the fire at Barkston Heath concluded with an award of £0.226m to the Council. Half of this was transferred to Fire and Rescue to cover blue light cost pressures;

Council's General Funding – £2.212m more than the income budget.

1.107 The Council's general funding received was £2.212m more than the revenue budget approved at full Council in February 2018. The most significant reasons for this additional funding were as follows:-

- School Improvement, Monitoring and Brokering Grant - £1.121m (more than budgeted for). The school improvement, monitoring and brokering grant has been allocated to local authorities since September 2017 to allow them to continue to monitor performance of maintained schools, broker school improvement provision, and intervene as appropriate.
- Business Rates Top Up – £0.712m (more than was budgeted for). We have received additional funds from the 2017/18 Business Rates Tax Loss reconciliation which has been offset against the Business Rates Tariff and Top-up calculation adjustment that was accrued in 2017/18 but received during 2018/19.
- Business Rates Section 31 Top Up - £0.647m (less than was budgeted for). At the time of setting the budget for 2018/19, the Council were expecting to receive £10.825m. During the summer an updated allocation was released which showed a lower allocation of £10.178m.
- Business Rates - Pooling with Districts - £0.478m (more than was budgeted for). The amount accrued for pooling income at the end of 2017/18 was based on the latest estimates available to us at that time (£1.388m). Following the revision of the position of the pool after outturn, the income expected to the Council was higher than accrued at £1.866m.
- Business Rates Districts (Renewable Energy) - £0.372m (more than was budgeted for). The Council received additional income from the District Council's in relation to the business rates from renewable energy projects for 2017/18 and 2018/19 which was not included in the budget set in February 2018.
- Extended Rights to Free Travel - £0.160m (more than budgeted for). During 2018/19 the criteria of the grant has been amended to reflect the introduction of Universal Credit, which has resulted in the Council being awarded additional funding for 2018/19.

Capital Programme Outturn

1.108 The capital outturn for 2018/19 is summarised below:

- Net capital expenditure was £43.574m; and
- This was £50.108m or 53.5% less than planned.

1.109 The capital programme outturn is shown in APPENDIX C. **TABLE C** shows the summary of the year end position against the budget funded by the Council.

1.110 The reasons for significant capital budget over or underspends are explained in the following paragraphs.

TABLE C – Net Capital Programme Summary Outturn 2018/19

	Actuals	Net Expenditure Revised budget	Outturn Variance
	£'000	£'000	£'000
Adult Care & Community Wellbeing	68	68	0
Finance & Public Protection - Commissioning	16,827	26,428	-9,601
Childrens Services - Commissioning	-7,861	-6,295	-1,567
Place	34,540	66,842	-32,302
Other Programmes	0	6,638	-6,638
Total Capital Programme 2018/2019	43,574	93,681	-50,108

1.111 The capital programme comprises a series of schemes/projects which often span a number of years. Hence over/underspends cannot be related to time periods such as this financial year. Where a scheme/project is known to be exhibiting a material variance to its spending profile this will be described in the narrative associated with that commissioning area.

1.112 Schemes can receive funding from both the County Council and from external bodies (through grants and contributions). The timing of this external funding may also have an impact on the spending profile of schemes annually within the capital programme.

Adult Care and Community Wellbeing (AC&CW) (balanced budget).

1.113 Reference line 2 of Appendix C – Adult Care. Capital investment within Adult Care and Community Wellbeing is mostly delivered via capital reserves. AC&CW spent just under £0.068m on capital expenditure in 2018/19. The majority of spend was against the on-going modernisation programme taking place across the remaining in house day care centres that the Council operate, with £0.020m being used to pay for dilapidation costs on one particular day centre (Warwick Road) that the Council handed back to the landlord last year.

1.114 A further £0.008m was utilised as part of a Government initiative to install efficient heating systems in the homes of vulnerable people. Funding for this initiative was provided via a grant.

1.115 Capital expenditure within AC&CW during 2019/20 is once again expected to be minimal, as the bulk of the modernisation work on the day centres has now been completed.

Finance and Public Protection (9.601m under budget)

1.116 **Enablers & Support To Council's Outcomes** – commissioning strategy under budget by £5.503m net.

- Reference line 4 of Appendix C – Broadband. The payments for the broadband project were in line with contractual performance criteria.
- Reference line 5,6,7,8 and 13 of Appendix C – IMT Capital. The payments throughout the financial year reflect the timing of ongoing projects, including infrastructure refresh and the implementation of Windows 10, to improve the ICT infrastructure for the Council.
- Reference lines 9 & 10 of Appendix C – Property. The variance reflects the timing of the overall property programme across financial years.
- Reference line 11 of Appendix C – Blue Light Project. The Blue Light project remains financially on target to its overall budget. The variance in income reflects the timings of income recovery from partner bodies in line with the agreed collaboration agreement.

1.117 **Protecting the Public** – commissioning strategy under budget by £4.099m net.

- Reference line 14 of Appendix C – Fire and Rescue. The variance reflects the timing of payments for the overall programme.
- Reference line 15 of Appendix C - Fire Fleet and Associated Equipment. The timing of milestone staged payments for new vehicles and equipment, which was expected in the final quarter of 2018/19, will now be made within 2019/20.

Children's Services (£1.567m under budget).

1.118 Reference lines 17-23, 24, 26-30 of Appendix C – Children's Services. The majority of the underspend relates to funding commitments on a number of planned future schemes and work priorities. These include capital works for remodelling existing school buildings to respond to demands for special educational needs placements (£0.490m); capital works planned to improve the conditions of an existing school site (£0.400m), and the remaining rollout of IT

hardware for Children's Services front line staff to overcome the challenges in accessing mobile technology (£0.164m).

1.119 Reference line 14 of Appendix C – Foster Capital. A capital fund is earmarked for property adaptations to support foster carer placements for Lincolnshire's looked after children where appropriate (£0.372m). This is seen as an invest to save initiative to enable looked after children to remain in local communities and reduce the risk of having to make external commissioned specialist placements.

Place (£32.302m under budget).

1.120 **Protecting and Sustaining the Environment** – commissioning strategy underspent by £2.497m gross (54% of the budget).

- Reference line 32 of Appendix C - Flood Defence underspend (£1.100m) will be carried forward to fund the final payments for both the Horncastle and Louth flood alleviation schemes.
- Reference line 35 of Appendix C – Flood and Water Risk Management the £0.477m underspend (£0.594m net of additional income received) on the Flood & Water Risk Management block budget is committed to schemes within the programme that span several years.
- Reference lines 36 to 38 of Appendix C - Waste Management. The capital programme shows an overall underspend of £0.875m. This comprises of fire suppression at the waste transfer stations that is needed in the next financial year (£0.500m) together with compactors that have not needed to be replaced in the timescale predicted (£0.255m). In addition the underspend on the Boston household waste recycling centre (£0.120m) will be required within the Waste Management capital programme in 2019/20.

1.121 **Sustaining and Developing Prosperity through Infrastructure** – commissioning strategy underspent by £29.018m gross (24% of the budget).

- Reference line 39 of Appendix C – Highways Asset Protection. The gross budget for this activity (£57.903m) is larger than previous years due to additional funding received in year from the Department for Transport (DfT), recognising the damage caused to roads during the poor weather in 2018. Whilst the programme is showing an underspend in 2018/19, the budget is fully committed and schemes will continue to be completed into the spring period.
- Reference line 40 of Appendix C - Integrated Transport. The underspend (£0.278m) is managed through allocations to larger schemes and is managed across financial years.

- Reference line 41 of Appendix C – Lincoln Eastern Bypass. This scheme is showing an underspend in the current year, this is mainly due to actively using external grant funding before using LCC budget and a delay of earthworks across the scheme together with piling work on the River Witham Bridge. These works are now progressing well. Following Council approval in February 2019, the total gross budget for this scheme is £124.228m. The scheme is currently forecast to be delivered within budget.
- Reference line 44 of Appendix C – Grantham Southern Relief Road. Following approval from Council in February 2019 the gross scheme budget for the Grantham Southern Relief Road is £101.630m. The overspend in the current year is because the council was expecting a higher value of grant from the Lincolnshire Local Enterprise Partnership (GLLEP) than what was received. The additional grants from the GLLEP will instead be received in financial year 2019/20, thus offsetting the overspend in this financial year.
- Reference line 47 of Appendix C – Lincoln Growth Points. The overspend (£0.449m) reflects compensatory payments and interest associated with replacement buildings on Tentercroft Street.
- Reference line 48 of Appendix C – Lincolnshire Waterways. The overspend (£0.144m) is due to income expected during the year which will now be received in the new financial year.
- Reference line 50 of Appendix C – Street Lighting Transformation. The underspend (£0.358m) is to be utilised in LED replacements going forward.
- Reference line 51 of Appendix C - Lincolnshire Enterprise Partnership. The underspend (£3.057m) resulted as the profile for expected spend including the Skegness Business Centre which was delayed as negotiations regarding land purchase have taken longer than anticipated.
- Reference line 52 of Appendix C – Network Resilience. The underspend (£0.512m) mainly relates to delayed procurement in the programme of purchasing the winter gritter fleet away from a lease payment operation. This will progress early in the new financial year.
- Reference line 56 of Appendix C - Other Transport Initiatives. This spend area includes a £0.495m transfer from the revenue budget to provide further funds for the punctuality improvement programme and other transport initiatives going forward. Elements of the underspend have been created due to slippage in relation to Replacement IT systems, vehicle adaptations and the electronic ticketing project deliverables. Expenditure will now occur in 2019/2020.
- Underspends on the remainder of the programme reflect recently started schemes that will progress during the 2019/20 financial year.

1.122 **Sustaining & Growing Business & the Economy** – commissioning strategy underspent by £0.340m gross (16% of the budget).

- Reference line 64 of Appendix C – Other Sustaining and growing the business. The underspend (£0.279m) relates to payments associated with Kirton Distribution Park and the Lincolnshire Coastal Observatory that will be made in the new financial year.
- Reference line 66 of Appendix C – Holbeach Food Enterprise Zone. The underspend (£0.070m) relates to staged payments for the scheme, expected in 2018/19, which will be made in the new financial year. The wider scheme is to be fully funded via LEP and supported LCC capital corporate development funds.

New Developments Capital Contingency Fund (£6.638m under budget).

1.123 For 2018/19 the Council set aside £7.500m in a New Development Capital Contingency Fund, plus the carried forward underspend from 2017/18 of £9.299m. During the financial year £11.257m was allocated from this budget. This has been utilised to fund the following schemes:

- Bluelight Collaboration Contribution (£4.716m);
- IT investment of £2.500m to support the upgrade to Windows 365;
- Children's Services IT investment (£1.503m) for front line services such as social workers and early help workers;
- The purchase and refurbishment of Lexicon House for £1.975m. This will create additional office space, some of which may be rented by other organisations;
- Contribution towards the build of a new compliant and fully functioning training building at Grantham Fire Station (£0.275m);
- County Farms – works to meet Minimum Energy Efficiency Standards (MEES) (£0.107m) and Road Improvement Schemes (£0.076m);
- A1073 Part One Compensation Claims paid in 2018/19 (£0.065m); and
- Property – Installation of Solar Panels at Lancaster House (£0.040m).

1.124 Following completion of some projects previously funded from the contingency fund, underspends were transferred back to the fund. These totalled to £1.096m and are detailed below:

- Skegness Countryside Business Park – due to impasse in negotiations (£0.606m) and a revised project is planned; and

- Holbeach Peppermint Junction (£0.490m).

1.125 The underspend of £6.638m remaining at the end of 2018/19 will be transferred forward into 2019/20 to fund schemes in the new financial year. There are a number of commitments which already exist for use of this funding in 2019/20 and future years. This will be allocated in 2019/20 as and when required.

Prudential indicators

1.126 The Local Government Act 2003 gave authorities freedom to borrow what they need to fund their capital programmes. The Act requires Local Authorities to comply with CIPFA's Prudential Code for Capital Finance in Local Authorities. The Code provides a framework to ensure that Local Authorities' capital programmes are affordable, prudent and sustainable and that treasury management decisions are taken to support this.

1.127 In complying with the Code the indicators for 2018/19 were approved by the Council on 23 February 2018 along with the budget and council tax for that year. In accordance with the Code, the Executive Director has been monitoring the actual performance against the targets set and would have reported any issues of concern to members had there been a need to. The Council should also be informed of the actual position compared with that estimated for any given year after the year end. **APPENDIX D** provides details of this comparison for 2018/19. It shows that Prudential Indicators have not been exceeded during the year and there have been no breach of limits set by the Authority.

Flexible Use of Capital Receipts

1.128 The Council had planned to use £8.000m of flexible capital receipts in 2018/19 to fund transformation projects which will generate ongoing revenue savings to the authority. However, the Council generated £7.157m, which was just short of the £8.000m target. This is due to some properties being on hold pending the Council's decisions on extra care housing and other developments.

1.129 Included in the receipts is £0.344m relating to specific Schools capital projects in accordance with the Section 77 of the Schools Standard and Framework Act 1998. It is therefore requested that £0.344m go to an earmarked reserve for this purpose. (See paragraph 1.135). This will fulfil the requirement to re-invest capital receipts relating to the sale of playing fields as part of the consent given by the Department of Education.

1.130 The remaining balance of £6.813m was available to fund transformation projects according to the Strategy. It had been identified that the following schemes which would be funded this way in 2018/19:

- Service changes and reductions (including redundancies);
- Property rationalisation;
- Efficiencies through contracting and procurement;
- Transforming technology; and

- Preventing and detecting fraud.

1.131 During the year the Council spent £3.446m on these transformation projects. Details of the Council's original plans and actual activity are set out at **APPENDIX A1**.

1.132 As the total capital receipts available is £3.368m more than the cost of transformation projects, this surplus amount was used to fund the capital programme 2018/19 in accordance with the Council's accounting policy i.e. to use all available capital receipts to fund the capital programme in the year, thereby reducing the cost of borrowing in future years.

1.133 The Flexible Use of Capital Receipts Strategy has been updated for 2019/20 in the light of revised estimates of the cost of some transformational work. At the same time the opportunity has been taken to provide more detailed information about the strategy and this is shown in **APPENDIX A2**. The Strategy for 2019/20 was approved by the Council in February 2019 and government statutory guidance requires that where such a Strategy is amended in the year, the amended Strategy is approved.

Carry forward of over and underspends

1.134 The Council's policy as set out in its Financial Strategy is:

1.135 All under and overspends on service revenue budgets of up to 1% will be carried forward without exception (£3.473m). As in previous years Executive Directors have provided details of how they plan to use the up to 1% carry forward. Executive Directors have delegated authority to approve the use of any 1% underspend in conjunction with relevant Portfolio Holders. A summary of the 1% amounts is shown in the table below with a more detailed breakdown set out at **APPENDIX B**.

Directorate	Final Proposal £000's
Executive Director - Children's Services	1,046
Executive Director - Adult Care and Wellbeing	1,125
Executive Director - Place	766
Executive Director - Finance & Public Protection	536
TOTAL	3,473

1.136 All under and overspends on the dedicated schools budget (£21.000m) will be carried forward.

1.137 In addition to the carry forward of up to 1% of budget under and overspends, there are a number of transfers to reserves for "business as usual" totalling £1.253m:

- Civil Parking Enforcement income is ring-fenced for spending on specific works defined by legislation. This budget underspent by £0.023m in the year.
- The budget for flood and water risk management underspent by £0.096m in the year.
- Two of the Council's activities which provide services to partner organisations have operated at a surplus in 2018/19 and the net surpluses will be transferred to earmarked reserves pending future decisions about their use. These are: Legal Services Lincolnshire (£0.738m) and Strategic Commissioning and Procurement (£0.052m).
- Income of £0.344m was received in the year from the sale of former playing fields and school land. This sum will be transferred to the Capital Receipts earmarked reserve, to be used for the Poplar Farm Schools Project under Section 77 of the School Standards and Framework Act 1998.

1.138 All of the transfers to reserves set out in the preceding paragraphs are for noting. The Council is required to consider the use of underspends above the level of 1% and outside of the "business as usual" transfers to reserves. There are two further requests for transfers to earmarked reserves:

- Following an actuarial valuation, it is proposed that £0.500m be added to the Insurance Fund reserve. This will give a total of £13.000m within the Insurance Fund and the Insurance Provision to cover future liabilities.
- Spending on road maintenance can be volatile and is affected by adverse weather conditions. The Adverse Weather - Winter Maintenance reserve has been depleted and it is requested that the sum of £0.433m be transferred to this reserve to reinstate it to the £0.500m level.

1.139 It is proposed that one new earmarked reserve be created, by transferring some funding from an existing earmarked reserve:

- The proposal is that the sum of £0.261m be transferred from the existing "Highways & Transport Grants and Contributions" earmarked reserve into a new reserve called "Traffic Commissioner Threshold". This will allow the Council to demonstrate that it has a reserve earmarked for the operation of Transport Connect Limited and will give confidence to the Traffic Commissioner that any financial risks can be mitigated. This measure will help to support applications for additional operating licences.

1.140 A summary of the proposals outlined above can be found at **APPENDIX B**.

1.141 After the above allocations, which are in line with the Council's Financial Strategy, there is £10.174m still to be allocated. It is proposed to add the remaining underspend of £10.174m to the Financial Volatility Reserve.

1.142 The current balance in the Financial Volatility Reserve is £45.595m, allocated as follows:

- £3.087m to fund the 2019/20 Budget Shortfall; and
- £42.508m currently available for 2020/21 and beyond, before any further year end contributions.

1.143 Acceptance of the recommendations increases the value of the Volatility Reserves to £55.769m.

1.144 A variety of other transfers to or from other earmarked reserves reflecting actual expenditure and income in 2018/19 are shown in **TABLE E** over the page.

General Reserve

1.145 The Council's policy on general reserves is that they will be maintained within a range of 2.5% to 3.5% of its annual budget requirement. When setting its budget for 2018/19 the Council had planned to increase the balance in the General Fund by £0.800m. After considering the updated budget requirement for 2019/20 and the proposals on the carry forward of over and underspends, the General Fund has been increased by £0.600m. It is not proposed to make any further amendments to the General Fund at the year end. The general reserves at 31 March 2019 are £15.800m or 3.45% of the budget requirement (**TABLE D**).

TABLE D – General Reserves

GENERAL RESERVES	General Reserves £000's
Balance at 1 April 2018	15,200
Contribution to / use of in year	600
Balance at 31 March 2019	15,800
Balance as a percentage of 2019/20 budget	3.45%

TABLE E – Transfers to and from reserves

EARMARKED RESERVES	Restated			Balance at 31 March 2019 £'000
	Balance at 31 March 2018 £'000	Used in Year £'000	Additional in Year £'000	
Schools Carryforward	-12,827	17,737	-17,932	-13,022
Prime Account Loan Reserve Adjustment	287	1,162	-967	482
Balances held by Schools under a scheme of delegation	-12,540	18,899	-18,899	-12,540
Other Services	0	3,576	-3,576	0
Earmarked Reserves - Pre-Council Confirmation	-44,727	44,727	0	0
Adverse Weather	0	433	-500	-67
Insurances	-4,487	0	-750	-5,237
Schools Sickness Insurance Scheme	-1,103	1,168	-584	-519
Museum Exhibits	-133	0	0	-133
Development - Economic Development Reserve	-255	40	0	-215
Health and Wellbeing	-682	213	-4	-473
Health and Wellbeing Operating Cost Reserve	-96	53	0	-43
Development - Lincs Coastal Country Park	-351	301	0	-50
Legal	-920	760	-682	-842
Procurement	-959	0	-104	-1,063
Salix Carbon Management	-184	378	-234	-40
Safer Communities Development Fund	-833	277	0	-556
Co-Responders Services	-150	0	-300	-450
Financial Volatility Reserve - Budget Shortfall	-5,076	5,076	0	0
Financial Volatility Reserve	-26,179	588	-20,004	-45,595
Teal Park	-50	50	0	0
Youth Service Positive Activities Development Fund	-20	0	0	-20
Corby Glen/South Lincolnshire Sports Fund	0	0	0	0
Youth Offending Service	-512	0	0	-512
Domestic Homicide Reviews	-100	29	0	-71
Civil Parking Enforcement	-836	0	-20	-856
Support Service Contract Reserve (FDSS)	-365	569	-2,500	-2,296
Roads Maintenance Reserve	-2	2	0	0
Adoption Reform Reserve	-35	0	0	-35
Community Advisors Reserve	-156	123	0	-33
Local Welfare Provision Reserve	-15	0	0	-15
Property Management	-130	0	0	-130
Energy from Waste Lifecycles	-4,400	700	-1,286	-4,986
Broadband Project	-135	135	0	0
Broadband Clawback	-157	157	0	0
Flood and Water Risk Management	-421	0	-137	-558
Young People in Lincolnshire	-252	0	0	-252
Lincoln Eastern Bypass (LEB)	-500	0	0	-500
Families Working Together	-599	0	0	-599
Enterprise Schemes	-108	0	0	-108
Asbestos Pressure	-50	0	0	-50
DAAT Pooled Budget	-248	0	0	-248
Street Lighting Earmarked Reserve	-100	0	0	-100
Heritage Services Earmarked Reserve	-880	618	0	-262
Horncastle Salt Barn	0	0	0	0
Corporate Property Business Case	-100	0	0	-100
Agresso Milestone 6 Finance Staffing	-100	0	0	-100
Contract Development	-1,000	0	0	-1,000
Highways Advanced Design	-1,763	929	0	-834
Music Service Reserve (carry forward)	-207	59	0	-148
Environmental Improvements Sustainability Reserve (-1,000	0	0	-1,000
Environmental Improvements Sustainability Reserve (-4,000	0	0	-4,000
Purchase of Employee Leave Scheme Reserve	0	0	-264	-264
S77 Poplar Farm School Project	0	584	-584	0
Highways Permitting Reserve Income	0	83	-477	-394
Heritage Service	0	80	-130	-50
Business Rates Volatility Reserve	0	0	-1,683	-1,683
Earmarked Reserves	-104,376	61,708	-33,819	-76,487
Revenue Grants and Contributions	-59,005	14,426	-18,791	-63,370
TOTAL RESERVES	-175,921	95,033	-71,509	-152,397

2. Legal Issues:

Equality Act 2010

Under section 149 of the Equality Act 2010, the Council must, in the exercise of its functions, have due regard to the need to:

- * Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act
- * Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it
- * Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The relevant protected characteristics are age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; and sexual orientation

Having due regard to the need to advance equality of opportunity involves having due regard, in particular, to the need to:

- * Remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic
- * Take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it
- * Encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low

The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities

Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to tackle prejudice, and promote understanding

Compliance with the duties in section 149 may involve treating some persons more favourably than others

The duty cannot be delegated and must be discharged by the decision-maker. To discharge the statutory duty the decision-maker must analyse all the relevant material with the specific statutory obligations in mind. If a risk of adverse impact is identified consideration must be given to measures to avoid that impact as part of the decision making process

These matters have been considered and there is not considered to be any direct impact of the decisions called for by this report on the Equality Act duty or any of these strategies and obligations. The Council set its budget for 2018/19 in February 2018 having had regard to these matters. The treatment of underspends and overspends in this report do not impact on that budget or any individual decisions in relation to services. Those decisions will continue to have regard to Equality Act obligations and the various strategies and obligations referred to as

they are taken. This includes decisions on the use of carried forward underspends.

Joint Strategic Needs Analysis (JSNA and the Joint Health and Wellbeing Strategy (JHWS)

The Council must have regard to the Joint Strategic Needs Assessment (JSNA) and the Joint Health & Well Being Strategy (JHWS) in coming to a decision

The Joint Strategic Needs Analysis has been considered and there is not considered to be any direct impact of the decisions called for by this report on any of these strategies and obligations. The Council set its budget for 2018/19 in February 2018 having had regard to these matters. The treatment of underspends and overspends in this report do not impact on that budget or any individual decisions in relation to services. Those decisions will continue to have regard to the Joint Strategic Needs Analysis as they are taken. This includes decisions on the use of carried forward underspends.

Crime and Disorder

Under section 17 of the Crime and Disorder Act 1998, the Council must exercise its various functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it reasonably can to prevent crime and disorder in its area (including anti-social and other behaviour adversely affecting the local environment), the misuse of drugs, alcohol and other substances in its area and re-offending in its area

Section 17 of the Crime and Disorder Act 1998 has been considered and there is not considered to be any direct impact of the decisions called for by this report on the obligations arising from this Act. The Council set its budget for 2018/19 in February 2018 having had regard to these matters. The treatment of underspends and overspends in this report do not impact on that budget or any individual decisions in relation to services. Those decisions will continue to have regard to Section 17 of the Crime and Disorder Act 1998 obligations as they are taken. This includes decisions on the use of carried forward underspends.

3. Conclusion

3.1 The report provides details of the council's financial performance for 2018/19. Net revenue spending amounted to £448.363m, excluding Schools Budgets. Net capital spending totalled £43.574m.

3.2 Existing policies allow all over and underspends on capital, schools budgets and shared services to be automatically carried forward. The carry forwards and transfers to and from earmarked reserves have been proposed in accordance with existing policy. General reserves stand at £15.800m with a further £55.769m in the Financial Volatility earmarked reserve.

4. Legal Comments:

Recommendation 1 is compliant with the Council's Financial Regulations
With regard to recommendation 2, Council's Financial Regulations provide that the use of all underspending on service budgets in excess of 1% will be considered by the Executive and decided by the full Council. The means of funding all overspendings on service budgets in excess of 1% will be considered by the Executive and decided by the full Council.

Under Section 3 of the Local Government Act 2003 the Authority must determine and keep under review how much money it can afford to borrow. Reporting on the Prudential Indicators assists the Council in discharging this function.

Statutory guidance on the Flexible Use of Capital Receipts requires that where the strategy for the flexible use of capital receipts is updated following its initial approval, the updated strategy is approved by the full Council.

The recommendations are lawful in accordance with the Constitution and the Policy Framework and within the remit of the Executive.

5. Resource Comments:

Accepting the recommendations in this report provides the Council with a sound financial base from which to manage the challenges of a difficult medium to longer term outlook for public sector finances.

6. Consultation

a) Has Local Member Been Consulted?

n/a

b) Has Executive Councillor Been Consulted?

Yes

c) Scrutiny Comments

On 27 June 2019, the Overview and Scrutiny Management Board considered the report and agreed to support the recommendations to the Executive.

School Budgets

In response to a query about the £21M underspend relating to School budgets, it was confirmed that there was no limit on how much or for how long schools can carry forward their underspend. As schools funding was based on pupil numbers, it was subject to variations each year so schools prudently kept some of their funding back to address this. However, finance officers did monitor school budgets and could intervene when necessary.

Flood and Risk Management

In relation to the £97,000 underspend on flood and risk management, it was queried whether it could be used to address the flooding issues in Wainfleet. It was reported that the funding would be used to match funding from other agencies such as the Environment Agency.

Children's Centres

In relation to the £161,000 underspend in children's centres, concern was raised as to why the money was not being used to facilitate extra services or equipment. It was highlighted that Children's Services utilised a lot of grants and therefore it was difficult to commit to a service for a year and then have to remove it altogether if the Council was unable to fund it long term. It was also suggested whether children's centres could be utilised as a day centre for adults with Special Educational Needs.

School Improvement

Support was given to the use of the Children's Services bid to use its 1% underspend on the City of Lincoln Project, as detailed in Appendix B, to enable schools and academies in Lincoln to work collaboratively together to improve teaching and help children.

Adult Social Care

Given the financial pressures which Adult Social Care will face in future following the cessation of the Better Care Fund, the Board recommended that a volatility reserve should be set up for Adult Social Care.

Children's Services

It was suggested that an Invest to Save approach to funding early intervention services was needed to ensure better outcomes overall for children and young people.

Adoption

It was questioned whether a lack of funding was contributing to adoptions taking 362 days on average and how the Council compared to other local authorities. Officers agreed to raise this query with the service area.

General Comment on Underspends

The Board agreed that it was good news that the Council had these extra underspends, but a debate was needed on where to look to save money or spend it to support certain areas.

d) Have Risks and Impact Analysis been carried out??

No

e) Risks and Impact Analysis

N/A

7. Appendices

These are listed below and attached at the back of the report	
Appendix A	Flexible Use of Capital Receipts Outcomes 2018/19
Appendix B	Proposed Directorate Bids for Use of 1% Underspend
Appendix C	Capital Performance Report
Appendix D	Prudential Indicators 2018/19

8. Background Papers

Document title	Where the document can be viewed
Financial Strategy	Executive Director Finance and Public Protection

This report was written by Michelle Grady, who can be contacted on 01522 553235 or Michelle.Grady@lincolnshire.gov.uk.

Appendix A1 – Flexible Use of Capital Receipts Outcomes for 2018/19

	Budget Expenditure on Transformation	Budget Expenditure on Transformation	Cumulative Budget Expenditure on Transformation	Actual Expenditure on Transformation	Actual Expenditure on Transformation	Cumulative Actual Expenditure on Transformation	Variance	Project Cumulative Savings or Transformation Results
	2016-17 to 2017-18	2018-19	2016-17 to 2018-19	2016-17 to 2017-18	2018-19	2016-17 to 2018-19		
	£'m	£'m	£'m	£'m	£'m	£'m	£'m	
Corporate Redundancy	4.000	1.500	5.500	2.408	0.268	2.676	-2.824	From 2016-17 to 2018/19 the Council incurred £2.676m of costs whilst the total cumulative payback is £6.451m. This is a more positive payback than the rate assumed.
Service changes and reductions (including redundancies)	4.000	1.500	5.500	2.408	0.268	2.676	-2.824	
Bluelight Project	0.878	0.000	0.878	0.720	0.176	0.896	0.018	This will support the Blue Light Programme, which is a collection of projects run by Lincolnshire Police, Lincolnshire Fire and Rescue and East Midlands Ambulance Service (EMAS) designed to: 1. Provide a modern and fit for purpose estate which meets the needs of each party into the future. 2. Optimise savings and reduce the running costs for all Parties. 3. Maintain and improve service delivery and public confidence in emergency services in Lincolnshire. 4. Continue to build upon existing collaboration and partnership working between Lincolnshire's emergency services. 5. Maximise interoperability and integration opportunities for Lincolnshire emergency services in the future. The programme will soon see the completion of the purpose built premises at South Park.
Strategic Asset Management	1.047	0.520	1.567	1.436	0.547	1.982	0.416	The work done by the team supports the programme of rationalisation, supports the transformation programme that the various services are undertaking to ensure that the property portfolio is being utilised effectively. This includes further collaboratory working with other government departments and local authorities, e.g. Lincolnshire Police, East Midlands Ambulance Service, Health Authorities and District Councils
Lancaster House	0.150	0.000	0.150	0.104	0.024	0.128	-0.022	The refurbishment of Lancaster House resulted from a move by staff from Witham House whereby the lease for c£216k per year at the time was surrendered.
Property rationalisation and collaboration	2.075	0.520	2.594	2.259	0.746	3.006	0.412	
Record Management Project	0.318	0.000	0.318	0.173	0.000	0.173	-0.145	The project ran for 2 years and resulted in the destruction of over 7,500 boxes of records with more than 12,500 boxes reviewed. The work will provide the basis of the next approach the Council needs to adapt to improve the way it manages its records, reduce its holdings, and mitigate the risks currently presented. This will address the outdated practices that results in inconsistencies and inefficiencies, and a lack of ownership and accountability leading to unnecessary retention of a significant number of records.

	Budget Expenditure on Transformation	Budget Expenditure on Transformation	Cumulative Budget Expenditure on Transformation	Actual Expenditure on Transformation	Actual Expenditure on Transformation	Cumulative Actual Expenditure on Transformation	Variance	Project Cumulative Savings or Transformation Results
	2016-17 to 2017-18	2018-19	2016-17 to 2018-19	2016-17 to 2017-18	2018-19	2016-17 to 2018-19		
	£'m	£'m	£'m	£'m	£'m	£'m	£'m	
Commercial Projects and Performance	2.377	1.006	3.383	1.800	0.873	2.673	-0.710	<p>The team has supported the following projects that will transform the delivery of services:</p> <ol style="list-style-type: none"> 1. FixMyStreet Implementation - Provision of a fault reporting solution for the Council. This will improve engagement with the public and will enable them to report problems relating to Highways online. 2. Bluelight Collaboration in order to deliver a joint Lincolnshire Fire and Rescue (LFR) and Police HQ at Nettleham; co-locate LFR, Police Command and Control Room at Nettleham happened in March 2018; Bluelight campus at South Park with LFR, East Midlands Ambulance Service and Police is nearing completion and expecting the move to take place in June 2019. 3. Implementation of the Apprenticeship Reforms which maximised the use of the levy for apprenticeship cost. The project resulted in the consistent take up of apprenticeship training from September 2018 to end of January 2019 including higher level training (Degree and Post Graduate), recruitment of 10 staff to undertake the Social Worker apprenticeship training with Sheffield University, the Occupational Therapist apprenticeship approved and plans to take up in September 2019. At the end of March 2019, there are 145 employees undertaking training funded by the Apprenticeship levy. Prior to the introduction of the levy, there was a maximum of 35 employees at any one time in the Council undertaking apprenticeship training via the Adult Education Budget. 4. Integration of Locality Working Programme aims to deliver a more integrated workforce and review working practices to identify where processes can be more streamlined, removing unnecessary duplication of contacts with families. This project resulted in Children Safe and Healthy savings of £0.218m from 2017-18 budget. 5. The successful implementation of the new Shared Lives contract within limited timescales. 6. The creation of an IMT Board that will be responsible for delivering, championing and driving improvement to the Council IMT delivery. It will ensure that IMT work programme follows the Council's existing formal decision making governance arrangements and monitoring the delivery of that programme.
Commissioning - Strategic Commissioning Shared Services	0.715	0.379	1.094	0.674	0.373	1.047	-0.047	<p>Savings are achieved through reducing costs but also keeping future contract costs as low as possible (i.e. ensuring that growth in costs is kept to a minimum).</p> <p>In 2016-17 the team delivered the County Planning Software application producing savings of £45k; introduced the SEN Transport Dynamic Purchasing system, which fundamentally changed the procurement strategy and market engagement resulting in a reduction of contracts from 100's to just 18.</p> <p>One of the works completed by the team in 2017/18 is the re-procurement of the new Best Start Lincolnshire early years service model. From the re-procurement of the new service model, the expected saving was 75% achieved in 2017/18 which is £0.588m and fully achieved £0.783m per year from 2018/19.</p> <p>Another is the new model of Children's 0-19 Health Services which is the result of decommissioning the Family Nurse Partnership. The savings of £0.350m anticipated was achieved by Children Safe and Healthy as part of their budget reduction from 2017-18.</p> <p>They were also involved in developing a procurement strategy relating to Apprenticeship Training Providers. This provided a level of flexibility in both the Council's requirements and providers to deliver against the Council's needs.</p> <p>In 2018/19 they worked with ICT to re-procure the Microsoft licenses the Council use and this provided a savings of £547k over 3 years. This will support the planned move to Office 365 in 2019/20. They are also involved in the procurement of the new Council's website to support the transformation programme ICT.</p>

	Budget Expenditure on Transformation	Budget Expenditure on Transformation	Cumulative Budget Expenditure on Transformation	Actual Expenditure on Transformation	Actual Expenditure on Transformation	Cumulative Actual Expenditure on Transformation	Variance	Project Cumulative Savings or Transformation Results
	2016-17 to 2017-18	2018-19	2016-17 to 2018-19	2016-17 to 2017-18	2018-19	2016-17 to 2018-19		
	£'m	£'m	£'m	£'m	£'m	£'m	£'m	
Commissioning - Strategic Commissioning LCC	0.580	0.186	0.767	0.662	0.371	1.033	0.267	<p>The team concluded procurement of the following encompassing 2016-17 to 2018-19 that transformed the way the service will be provided:</p> <ol style="list-style-type: none"> 1. Carers Support Service - consolidated multiple independent arrangement across multiple providers to a single contract and lead providers for specialist support to carers in Lincolnshire, including provision of information advice and signposting, face to face assessment, guidance and various other measures. 2. Sensory Impairment Support Service - the new contract offers an improved person centred service delivery, providing flexible and innovative solutions within a fixed budget that offers value for money year on year. 3. A substance misuse delivery model that is holistic and aims to provide an integrated treatment system for drugs and alcohol which will effectively meet the needs of the local population. 4. The re-designed Wellbeing Service 'Wellbeing Lincs' will give people empowerment to live healthy independent lives, provide preventative service that delays escalation to more costly health and care services, increase accessibility to support, improvement in health and wellbeing and an individual's ability to self-care and tailor to ensure the individual gets the right support at the right time. 5. The new Telecare Service is more than a delivery and installation of equipment and monitoring of Telecare systems. It will work effectively to support the people to remain at home ensuring that the new provider understands the targeted outcomes along with a positive and flexible approach supporting the service user, carers and trusted assessors. 6. A new innovative cost model for Learning Disability residential services to support the vulnerable adults with learning disabilities that will represent a significant step forward in how the Council commissions residential care. 7. Currently working on a new Integrated Lifestyle Service that will focus on improving levels of physical activity, reducing weight and BMI, quitting smoking and drinking within safe limits. It is aimed for this new service to commence on 1st July 2019 and will replace the current Stop Smoking service. 8. A new framework for day care to address the mixture of spot contracts, which commenced at different times and for varying durations, based on different pricing and in some cases with different specifications and contract terms. This provided a new buildings based day care contracts for older people and people with learning disabilities, maximised the choice of services, ensured consistency in service quality and introduced transparency and control to service costs.
Efficiencies through contracting and procurement	3.990	1.572	5.562	3.309	1.617	4.926	-0.635	
ICT Project Work	0.772	0.392	1.164	0.745	0.507	1.253	0.089	<p>Improvements and efficiencies here may not easily convert directly into a reduction in spending, however, they will increase capacity and allow other savings to be delivered across other areas of the Council. A number of IMT projects to improve the ICT infrastructure of the Council.</p> <p>During 2017-18 work has been undertaken on several schemes including: the design and installation of an IT network and security on the Lancaster House Campus; projects to migrate the IMP content platform to Open Text Cloud and the legacy Achieve Forms software to the new Firmstep replacement as both the current versions are coming to the end of their life.</p>
Electronic Data Warehousing (EDW)	0.270	0.000	0.270	0.442	0.026	0.468	0.198	This is a transformational project which aims to locate key Council's datasets in a central database.

	Budget Expenditure on Transformation	Budget Expenditure on Transformation	Cumulative Budget Expenditure on Transformation	Actual Expenditure on Transformation	Actual Expenditure on Transformation	Cumulative Actual Expenditure on Transformation	Variance	Project Cumulative Savings or Transformation Results
	2016-17 to 2017-18	2018-19	2016-17 to 2018-19	2016-17 to 2017-18	2018-19	2016-17 to 2018-19		
	£'m	£'m	£'m	£'m	£'m	£'m	£'m	
Transformation Enabling Technologies		3.000	3.000		0.000	0.000	-3.000	Technology Enables to improve IMT supporting the Council's services. Although this was planned to be done in 2018-19, it has been deferred.
Financial Strategy Staff Time - Mosaic Project and Agresso Upgrade	0.247		0.247	0.283		0.283	0.036	The Council is replacing the current Care Management system with Mosaic in order that all data are kept in one place and will include a finance module. This will help improve the efficiency in dealing with cases and transform the service processes resulting in efficiency. The Council's financial system Agresso was upgraded and provided an up to date, supported system that could be used as a platform for future transformation improvements.
Confirm on Demand								
Transforming information technology	1.289	3.392	4.681	1.471	0.533	2.004	-2.677	
Counter Fraud Investigations	0.402	0.220	0.622	0.426	0.280	0.707	0.084	The authority is developing ways in order to benchmark against the 6 strategy themes to tackle fraud and corruption in local government for 2016-2018. This will provide strong, harder hitting deterrence factor and fraud awareness, reduce levels of fraud in key service areas will help mitigate the impact of reducing budgets, and maintain an anti-fraud culture and reduce fraud to an absolute minimum. Recoveries increased to over £0.068m in 2016/17 compared to £0.031m reported in 2015/16. The work in 2016/17 identified scope for further recoveries of £0.083m, which was pursued in 2017/18. The team's data analysis skills have also played a major role in the identification and recovery of £1.600m in duplicate payments made to suppliers. The team also delivered fraud awareness sessions and liaised with the Serco Masterdata Team. As a direct result of this work and strengthened internal controls, the Serco Team successfully stopped an attempted bank mandate fraud. This prevented a payment of £0.107m from being made to the fraudsters. Recoveries increased to over £0.124m in 2017/18 compared to £0.068m reported in 2016/17. The team's work in 2017/18 also identified further potential recoveries of £55k in current live cases that were investigated in 2018/19. For 2018/19 the team had recovered £13.6k from fraud investigation. The partnership work with other council had resulted in c£1.4m removal of false single person discount, which will result in higher council tax income to the Council; £9.7k from fraud recoveries; and £15.2k fraud payment stopped due to fraud awareness.
Preventing and detecting fraud	0.402	0.220	0.622	0.426	0.280	0.707	0.084	
TOTAL	11.755	7.204	18.959	9.873	3.446	13.318	-5.641	

Appendix A2 – Flexible Capital Receipts Strategy 2019-20 Amended

	Original Planned Budget 2019-20 £'m	Revised Planned Budget 2019-20 £'m	Expected Savings or Transformation
Corporate Redundancy	1.500	1.500	The Council tracks the payback period for redundancy costs. It is estimated that for every £1 spent on redundancy costs within a 9 month period the Council saves £1.25. This year the Council incurred £0.556m of costs.
Service changes and reductions (including redundancies)	1.500	1.500	
Strategic Asset Management	1.054	0.223	The team will continue to support the programme of rationalisation which will see the delivery of the new integrated service based in South Park. They are also expecting some savings from the move of staff from the leased Richmond House in 2020 to Lexicon House. It is too early to confirm any figures as the detailed analysis of the costs of relocation hasn't been concluded and the income expected from other organisation may not be realised due to the increased number of the Council staff that may now have to occupy the building.
Children's Supported Accommodation	0.181	0.181	In order to safeguard and promote the welfare of all young people by providing supported accommodation for those young people of 16 and 17 years at risk of homelessness, Children's Services will be providing new accommodation pathway for those who require support or are experiencing homelessness. A pilot involving in-house provision as a pathway into other accommodation is anticipated to deliver value for money and improved individual outcomes, and the service is planning to roll this out further across the Council, as further properties become available. The pilot is expected to realise savings of £0.300k from 2019-20.
Property rationalisation and collaboration	1.235	0.404	
Commercial Projects and Performance	1.159	1.006	<p>The team will continue to support the following projects that will transform the delivery of services.</p> <ol style="list-style-type: none"> 1. Bluelight Collaboration - the South Park construction is entering into the final stages. 2. Heritage Service Operating Model Change Programme that will aim to create multi-purpose commercially operated progressive sites to showcase the county's heritage through all engagement mediums. 3. Zipporah Migration and Upgrade of the Council's online booking and e-commerce system. 4. Strategic Waste Programme will provide a robust and affordable solution to the management of the Mixed Dry Recycling. This will include liaison with District Councils regarding recycling requirements and food waste trials. 5. Shared Training Facility - This will explore the case for creating one solution to meet all of the training facilities needs for all of the Blue Light Programme partners. This will likely create cashable benefits through terminating leases on buildings and the need to train at out of county facilities. 6. Safer Together - This will develop and improve collaboration between the Council, the Police and other partners by working to promote safer communities across the county through - Project 1 - Establish a multi-discipline, co-located Council and Police team working together on priority themes relating to crime prevention and responses; and Project 2 - New partnership models and working practices to improve outcomes for cohorts with complex and multiple needs and their families. 7. Personalised Care Demonstrator Programme aims to embed the personalised care operating model into standard operating practice across the integrated health and care system. 8. Procurement of a new digital/web platform together with design and implementation services. The new website will provide a wide range of digital transactions, along with a new look and feel, and reduced content. 9. HR Transformation Programme - aims to further develop a transformed and integrated HR Service, which will encourage greater customer self-service through improved access to advice, information and services. The key focus is to ensure Managers become more self-sufficient as people managers and for the HR service to support them to achieve this. 10. Supported Housing/ Extra Care Housing Programme will aim to deliver additional extra care provision in Lincolnshire in line with, and in support of the Council's Homes for Independence Supported Accommodation Strategy, which is currently being developed. It aims to support the development of accommodation that promotes wellbeing and independence through a range of housing options that will provide choice for older people and reduce the long term costs of care provision as cost avoidance. The provision is not aiming to generate profitable income. 11. Budget 2020 will aim to deliver a balanced budget from 2020-21 onwards through a range of initiatives and transformation.

	Original Planned Budget	Revised Planned Budget	Expected Savings or Transformation
	2019-20	2019-20	
	£'m	£'m	
Commissioning - Strategic Commissioning Shared Services	0.368	0.379	<p>In 2019-20 the team has various planned activities in 2019-20 and some are listed below. These will transform the way these services will be delivered in the future -</p> <ol style="list-style-type: none"> 1. Support the Highways 2020 that will review the service provision for the Alliance, Professional Services and Traffic signals. The contract will be comprehensive and wide ranging to reflect the current strategy for Highways. 2. Waste - Mixed Dry Recyclables Agreement. The current contract is let to a single contractor which is due to expire in April 2020. The Council is exploring a number of alternative possibilities such as a provision of mixed recycling facility. 3. Household Waste Recycling Centre (HWRC) - Materials Reception (DPS). This is a mid-term refresh to the existing dynamic purchasing system for the reception and treatment of materials recycled by citizens at the Council's Household Waste Recycling Centres. 4. Electricity Contract - To procure the supply of electricity to the Council's corporate portfolio of Property and Highways with consideration to the Council's social value agenda (Environmental) and in support of the Council's Carbon Management Action Plan. 5. Adult Skills and Family Learning Services - The Adult Skills and Family Learning Services raises achievements and aspirations of Lincolnshire residents by providing high quality learning opportunities. Provision is planned to support the delivery of key strategic priorities of the Council as well as alignment to the Greater Lincolnshire Local Enterprise Partnership's (GLLEP) priority of increasing skills in Lincolnshire and driving economic growth.
Commissioning - Strategic Commissioning LCC	0.193	0.373	<p>During 2019-20 the team has various planned activities in 2019-20 and some of these are listed below. These will transform the way these services will be delivered in the future. -</p> <ol style="list-style-type: none"> 1. The conclusion of the Integrated Lifestyle Service that started in 2018-19 that will provide an new service. 2. A full Home Care Review to enable decision on the future model and procurement late summer 2019. 3. Home Based Reablement Review to enable decision as to the most effective model, to be considered alongside Home Care. 4. A full Housing Related Support and Crisis Housing review of available options and strategy development in advance of the current contract coming to and end in July 2020. 5. To complete a full review of the current Community Supported Living Framework to ensure that the team are in an optimum position to begin a procurement process if required. 6. Review and potential re-procurement of the Domestic Abuse Outreach and Independent Domestic Violence Advice contracts. 7. A full review of Direct Payments Support Service to enable a decision on the future model ahead of re-procurement towards end of 2019. 8. Review of Transitional Care Beds current contract arrangements to enable service improvements to be incorporated into a future re-procurement.
Efficiencies through contracting and procurement	1.720	1.757	

	Original Planned Budget	Revised Planned Budget	Expected Savings or Transformation
	2019-20	2019-20	
	£'m	£'m	
ICT Project Work	0.114	0.114	This will be used to meet the requirements in of ad-hoc projects. It will ensure that the Council will be able to provide continuation of services and to undertake investigations leading to corrective actions.
Transformation Enabling Technologies	3.000	2.995	There are various IMT projects planned that will significantly improve the IT of the Council. These include support for the following 1. Office 365 project will see the latest way in the delivery of Excel, Word and PowerPoint, including other tools such as 'Skype for Business' video conferencing and Teams, which is a collaboration workspace. Office 365 will provide enhanced document management features such as real-time co-authoring - multiple people can work on the same document at the same time - intelligent search capability, and sharing options for both internal and external collaborators. Document compatibility will be no longer an issue as the web apps in Office 365 are compatible with Office file types back to Windows XP. This will support the Council's flexible workforce. 2. LCC Telephony Upgrade - the software for the Council's Avaya telephone system used by staff and the CSC will be upgraded. This will improve supportability and provide additional features for the CSC such as voice recognition, which enables callers to verbally answer a number of system generated questions so that they can be quickly routed to the information or support they need. This will extend the working life of the Council's investment in telephone hardware. 3. Network Improvement - This will refresh or replace the ageing network equipment to increase resiliency, and to ensure we have the network performance necessary to access the IT service of the future. This will ensure the network is secure, resilient and has the performance to serve today's business demands as well as providing the bandwidth and speed needed to access the IT services in the future, particularly those hosted in the Cloud. 4. Internet Upgrade - Along with the network upgrade, this will give users improved performance and stability when accessing IT services, whether one is based in the office or working remotely.
Confirm on Demand	0.210	0.210	This is to upgrade the current highways works ordering software (Confirm) to a hosted service. This will make for more efficient and effective works ordering leading to better value for money in the delivery of highways work.
Transforming information technology	3.324	3.320	
Counter Fraud Investigations	0.220	0.220	The team aims to generate £30k savings as a result of their fraud work during 2019/20. As part of their partnership work and based on the work recently completed for the Single Person Discount, they are exploring to continue this work as a yearly activity rather than every 2 years. The recent estimate will generate c£10.5m over 5 years. This is based on an annual single person discount savings of £2.2m based on their work since 2015.
Preventing and detecting fraud	0.220	0.220	
TOTAL	8.000	7.201	

Appendix B – Proposed Directorate Bids for Use of 1% Underspend

Proposed Directorate Use of 1% Underspend 2018/19

Ref	Service Area	Planned use of Carry Forward (please provide a short explanation)	Required for one off scheme/pressure, on-going pressure.	For on-going budget pressures how does the service plan on resolving these beyond this funding?	Amount (£)
Directorate		Children's Services	Up to 1% Carry Forward		1,046,246
Ch1	School Improvement	Small schools project - the aim is to support small schools, with mixed age classes and leadership, in developing a research informed curriculum that supports all pupils to achieve highly, particularly disadvantaged pupils and pupils with SEND.	One-off		144,129
Ch2	School Improvement	The City of Lincoln Project is aimed at improving outcomes for children at Key Stage 2 and Key Stage 4, particularly those who are disadvantaged. The approach will use toolkits, reviews and research to improve the quality of teaching, teacher expertise, quality of assessment and use of resource to improve experiences and outcomes of the learners through working across the City collaboratively.	One-off		180,000
Ch3	School Improvement	Early Years : A number of projects aimed at improving outcomes for children, targeted at schools with the greatest need in terms of disadvantaged children. These will aim to : - develop reading and writing strategies in Reception classes by implementing a range of research recommendations on how to accelerate progress in the early years in reading and writing. - support bespoke moderation for those schools most significantly adrift from National who will be supported directly with their assessments through termly moderation and support to ensure accuracy and improvement is embedded. - extend the Lincolnshire Approach to Reviewing the Curriculum (LARC) to Early Years. LARC will provide a framework and opportunity to work together to ensure that Early Years settings are confident in how they have designed their curriculum. - develop high quality transition between Reception and Year 1.	One-off		360,000
Ch4	School Improvement	An educational consultant undertaking a review by drawing on local and national perspectives within this field across schools, Trusts, LAs and Teaching schools to review the current approach to school improvement in Lincolnshire. This review must include the role of the Teaching Schools, the LA and Multi Academy Trusts and include the view of Headteachers.	One-off		48,000
Ch5	Commissioned Arrangements	Bereavement Service - funding provided to support young people through difficult times of grief and loss.	One-off (agreed for 2 years)	Dependent on DMT future decision making	50,000

Ch6	Supported Accommodation	Youth Housing contract – the extension of the contract agreed to underwrite voids due to being 75-80% units utilised based on 72 units. A number of mitigating actions are being explored (past 18 years), but referrals are demand-led. It is hoped Future4Me will bring the numbers down further; therefore discussions are taking place with the provider in reducing the number of units.	One-off (agreed until July 2020)	Dependent on DMT future decision making of new contract arrangements	75,000
Ch7	Provision Planning	General School Reorganisation – costs associated with the former Mablethorpe Tennyson site (till end of Aug 2019)	One-off		41,667
Ch8	HR Service	Finalise and implement Employee Value Proposition work by the external provide, 33, including all social media marketing material for apprenticeships. This Council wide programme aims to improve our recruitment to the hard to recruit areas.	One-off		80,000
Ch9	HR Service	Cleansing of school files in readiness to send to Restore for storage. These files are for schools that are no longer Serco customers and those who have become Academies	One off		20,000
Ch10	HR Service	To provide HR Consultancy and staff training to enhance our approach to apprenticeships and capacity to work with education providers as well as supporting skills development in the area of Recruitment and Resourcing.	One-off		47,450
		TOTAL			1,046,246

In excess of 1% level

-

A1	Specialist Adult Services	The Code of Practice that will operationalise the Liberty Protection Standards (LPS) is currently being drafted. The LPS Code of Practice will have statutory force and is expected to be implemented sometime between Spring/Summer 2020. The development of training for AC&CW staff and the wider social care provider market and NHS staff will be a critical element ahead of the implementation date. Accordingly an awareness and training package will be needed at scale. It is expected that ongoing training costs will be of a much smaller scale and so a one-off fund will be prudent.	One Off		100,000
A2	Adult Frailty	The Occupational Therapy service has found it difficult to reduce and then maintain a position where there are no backlogs in the County. A number of initiatives have begun to show progress which includes the development Occupational Therapy assistant grades. There is also a developing dialogue with the Wellbeing Service to fasttrack lower level items of equipment thereby reducing the pressure on Occupational Therapy staff allowing them to undertake higher value work. This investment will help make a substantial inroad to improving the speed of the service impacting the backlog.	One Off		250,000
A3	Wellbeing	Extension and expansion of Digital Maturity Project with independent and 3rd sector providers to enable structured data flow between health, social care and care providers. The current programme has enabled 60 care home providers to meet the required digital and information governance standards and this would seek to increase this to 300+. This will support quicker and more effective discharge from hospital. Longer term this will allow independent providers, health and social care to access each other's data via the Care Portal and support the delivery of an Integrated Care System. The programme will also trial telehealth in a small number of care homes to allow basic observations to be recorded by care home and sent digitally to health and care to support hospital avoidance.	One Off		250,000
A4	Wellbeing	Implementation of the Virtual Wallet Solution that will allow online management of personalised budgets and provide customers with the opportunity to choose, book and buy services using their direct payment or personal health budget. The proposed solution has a direct link to Mosaic and will allow both the council and users to efficiently manage their direct payment, establishing the best way to deliver the outcome. This investment is subject to the Council's ICT system capacity being able to support the investment.	One Off		200,000

A5	Wellbeing	Mobile phone – the majority of frontline operational staff are using basic mobile phones that do not provide internet access. As we develop our suite of online products - Mosaic mobile, connect to support, online financial assessments and online policies and procedures it is important to provide our employees with the appropriate technology to access these tools. Agreed with the Executive Director with responsibility for corporate ICT. All requirements will be developed in conjunction with IMT to ensure the specification and procurement is compliant with a corporate framework.	One Off		100,000
A6	Carers	Intelligence provided via Skills for Care has indicated that the number of Adult Social Care jobs to meet projected demand for care services in Lincolnshire will need to increase from 20,500 jobs to somewhere between 29,000 and 34,000 jobs by 2030. This is an increase of jobs between 41% to 65% of existing workforce a challenge that is consolidated further by annual turnover rates of over 22% and 46% for those employees under 20 years of age. A recent workshop to consider how to address this and other workforce challenges has identified informal carers as a key cohort of people who could help to meet this significant growth in demand. The funding from 2018-19 underspend would be utilised to commission targeted recruitment and retention support and associated materials aimed at informal carers who have a need to work (in addition to their existing informal caring role) and also for those carers who have been bereaved of the person they cared for and now have time to consider a career in the care sector.	One Off		75,000
A7	Adult Safeguarding	Lincolnshire has identified the aspiration to develop a Team Around the Adult Safeguarding approach similar to the Team Around the Child approach already in place. The Team Around the Adult approach would be linked to developing common terms of reference and operating procedures for the Vulnerable Adult Panels that operate at District Council level. The underspend funding would be used to commission support to co-ordinate the development of operating procedures for VAP's and to ensure the VAPS are consistent in operation for the 2020-21 financial year.	One Off		150,000
					1,125,000

Below 1% level

-

856,931

Directorate

Place

Up to 1% Carry Forward 765,916

P1	Countryside	Cover the shortfall in cost between service provision and available budget to carry out required cyclic vegetation clearance.	On-going pressure	Previous reliance had been on Waste Service underspend - increased incomes from Public Path Orders may alleviate some of the pressure but there is a reliance on the Deregulation Act.	17,397
P2	Countryside	Materials purchase - currently budget for materials stands at c.£12000 which is sufficient to repair a small number of bridges each year. There is a significant imbalance between the contractual cost of the labour and the remaining funding to provide materials for their work inclusive of statutory duties.	On-going pressure	Previous reliance had been on Waste Service underspend and income from the establishment of the English Coast Path, neither of which are sustainable sources	35,000
P3	Flood Risk	There is increased financial risk in the capital programme due to deferment of Flood Defence Grant in Aid (FDGiA) in the national Medium Term Plan. FDGiA supports LCC projects which contribute to national flood risk management targets. The LCC capital programme has been reprofiled to reflect this short-term change in FDGiA, but there is still a requirement to deliver schemes which contribute to the council's Business Plan target of 100 properties protected each year. In essence, this means 'front loading' LCC investment in projects in the capital programme in the expectation that FDGiA will become available. It is expected that if required the existing revenue reserve will be utilised to manage these on-going pressures, and the requested carry-forward will help mitigate the increased risk of indicative national funding not being received.	On-going pressure.	Maximise grant drawdown when it becomes available. Consideration of alternative funding streams. There is the possibility of increased partner contributions, including Local Levy administered by the Regional Flood & Coastal Committee, but this is by no means certain.	40,000

P4	Strategic Planning	<p>The Chief Executives Group and HIG are agreed that there is a common growth ambition across Greater Lincolnshire which needs to be reflected in the corporate plans and strategies of the Greater Lincolnshire LEP and partner authorities. The broader Planning for Growth (PFG) work, being carried out and steered by Local Partnerships and the officers group, is continuing. This is considering the Greater Lincolnshire shared ambitions for growth, the current delivery position and market, opportunities for accelerated growth along with the range of delivery approaches and vehicles that may be appropriate to deliver the ambition. It will provide an evidence base to justify the recommended approach and will start to develop the business case for these options. It was acknowledged that a strategy, and a single narrative for Greater Lincolnshire, needs to be prepared to maximise the chances that Lincolnshire continues to be successful in accessing government funding – whether through the GLLEP, Homes England or other agencies and government departments. An overall budget of £ 165k has been agreed by GL authorities. £135k has been received from the district councils to progress this work and accrued to financial year 2019/20. Upon the advice of LCC Finance, the remaining £30k (£15k budget and £15k received from LEP) is required via an underspend bid for these funds to be retained within cost code L14325.</p>	One-off project		30,000
P5	Sustainability	<p>During the last 12 months E&E Scrutiny Committee has undertaken significant work focussed on the agricultural sector, particularly in response to the Health and Harmony Command Paper and the subsequent Agriculture Bill. Current areas of work include the promotion of the needs, opportunities and challenges for the sector in Lincolnshire to policy makers and influencers, as well as working with key stakeholders such as the NFU, CLA and LRSN to ensure that the sector is ready for these major changes, which are designed to create radical change and churn to agriculture . Mental health and the resilience of the farming community to deal with these major changes (in particular the end of CAP subsidy) is an area that has been identified by scrutiny as requiring additional support. A funding opportunity is available from the Prince's Trust to draw down funding to provide a mental health specialist to be part of the Rural Support Network Team, match funding is required.</p>	one off		40,000

P6	Sustainability	In 2019 LCC, the GLLEP and a group of AD operators procured the design and build of a verge harvesting machine. The greatest challenge to the project is the permitting arrangement (overseen by the Environment Agency) for the use of the grass, to be used in the process and eventually spread as digestate. Their original concerns largely focussed on heavy metals and we have provided scientific evidence to reassure the EA. However, the rise of the microplastics agenda during the last 12 months has led to new and additional concerns from the EA: that plastic bottles and other litter are being gathered by the machine, broken down during digestion and spread onto land. The farmers involved would co-fund the development of an additional "hoover" head that would be designed to separate the plastic. Estimated costs are £40,000, the request is for a 50% contribution to this.	one off		20,000
P7	Growth	To support us with preparation for a business visit to Hunan in November 2019.	one off		15,000
P8	Growth	WSP costs for Development Management service review - agreed need for review of the function of the service to ensure clarity on purpose/ approach.	one off		15,000
P9	Highways	Programme of road sign maintenance, renewal, cleaning designed to address improved NHT survey response and enhance road user experience	One off		250,000
P10	Planning Services	To pay for bespoke modifications/developments to the Mastergov software system that supports the Highway, Planning and Enforcement functions. Several modifications and enhancements have been identified for different modules within the system which would help to improve usability and deliver efficiencies in workflow and processes. This includes amendments to facilitate better co-ordination and recording of consultation responses from different LCC departments to District planning applications; recording, monitoring and requests for S106's for developments handled by the Districts; creation of additional fields for recording information and to aid reporting. These amendments are 'bespoke' changes to the purchased product and so costs would be incurred to pay for developer time.	One off scheme		20,000
P11	Waste	Sampling of the collected dry mixed recycling is required to investigate the level of contamination that exists. This will then provide evidence of what needs to be targeted in public communication campaigns.	One off scheme		25,000
P12	Heritage	Detailed property feasibility and investigation for the Archives development	One-off		100,000

P13	Strategic Communications	To support marketing campaigns, photography and corporate branding and business support for the Strategic Communications Team	One-off		33,519
		TOTAL			765,916

Difference - none -

Directorate

Finance and Public Protection

Up to 1% Carry Forward

536,012

Cor1	Corporate Property	Corporate Landlord - Programme Manager G11	2 years. This is a two year cost pressure , so the total requirement will be £112,900 (ie £57,210 in 2020/21)		55,690
Cor2	Corporate Property	Modern day slavery response : Additional site management at Washingborough Travellers site as a result of the modern day slavery serious case review. The review has highlighted that the Washingborough site manager is the only person that has daily contact with the Travellers on the site. The manager is only on site for 3 hours per day and this time is taken up by the daily property management. Increasing the hours, or the management resource, would allow for a wider remit and enable the site manager to help LCC to fulfill our role in future detection and prevention of potential modern day slavery issues.	ongoing	Will be included in future budget bid process.	40,000
Cor3	Corporate Property	The Programmes and Project team had placed a Project Manager in Corporate Property due to an increased workload. The Project Management role delivers all of the planned and reactive office moves for the Council and this has become vital to effective service delivery. With this role being reallocated by the Programmes and Projects team the only alternative is to backfill with a consultant who is familiar with the role (to maintain business continuity). The funding is to cover these costs for 6 – 9 months until the service is restructured in the autumn, whereupon a permanent replacement will be sought.	One-off		25,806
Cor4	Corporate Property	Rectory Farm Mineral quarry - Archaeology Categorisation/logging works being undertaken on "Finds" as a result of the previous Lease. Remaining (unspent) budget required to bring to conclusion.	One-off		44,900
Cor5	Finance	To meet a need to seek specialist tax advice to review our processes and address issues around taxation of employee expenses and benefits, a specialist advisor has been identified. The initial cost is likely to be £20,000 but there is an expectation there will be follow up work to undertake.	One-off	N/A	50,000
Cor6	Finance	The finance team have been working with Serco to review the aged debt recovery process, with a view to improving service ownership of debt, and reducing debts being written off. We have used one-off income in 2018/19 (from Meridian review) to use agency staff to review debt still outstanding from prior to the Serco contract, extending the agency support for 6 months will support the completion of this work.	One-off		30,000
Cor7	Finance	Additional staff resource to support Service Action Plan activities, especially Budget process	One-off	N/A	40,000

Cor8	Audit & Risk Mgt	Temporary resource was put in place to help undertake H&S inspection / audits in 2018/19 - ends June 2019. We would like to extend this project work into 2019/20. The backlog has been cleared but we continue to have sickness & capability issues in the team. The team is small and we would like to keep on top of the audits by extending the contract by 6 mths. It is anticipated that the HR issues will be resolved by December 2019.	One-off		10,000
Cor9	Audit & Risk Mgt	Audit and Risk would like to continue with the successful Intern scheme. We supported a professional practice year student - introducing them to Finance and Audit. We would like to continue with this initiative.	on-going		17,212
Cor10	Business Support	Employer Provider Centre - during 2018/19 the centre has not been able to move to the standards (from frameworks) which provides a greater financial draw down on the levy. Additional trainers have had to be recruited to support achievement of the Apprenticeship target in service.	One off	We will have moved to the standards by March 2020 at which point the EPC will become self funding based on current apprenticeship completions.	32,749
Cor11	Business Support	Transfer in of Complaints/FOI/SARS - project support is required for approx 9 months to ensure effective transition of service, review of processes and procedures in line with CMB request to bring service into LCC	One off	Required for effective transition of service into LCC and to work to new model	21,479
Cor12	Fire and Rescue	The Service continues to support the upgrading of the Asset Management System, from Brite Sparks to Red-Kite. This has encountered some IT and data retrieval issues that have required some extra funding to comply with our legal health and safety duties in the maintenance, recording of our operational equipment. The breakdown will be: 1. Extension of the current Britsparks programme and software, £7,000 2. Data retrieval and updating of the Red-Kite system, this will be 3 full time team members for a 3 month period, £21,000 3. Station training, involving Lay Trainers from the on-call / ops support on flat rate and overtime as required, £10,000	One off for FY 2019/20	Once implemented this will form part of service as usual.	38,000
Cor13	Fire and Rescue	On-going Vision 4 project resourcing (caused by delay in implementation through CAPITA). A solution has now been agreed and is being implemented from June 2019, with LFR due to migrate over late 2019, early 2020. LFR have been covering the costs of a technical post integral in the support and configuration of implementing the new solution. This post is not funded and is therefore a budget pressure. Salary costs for a former Control operator with extensive knowledge of the mobilising system. He forms part of the Technical team which is essential for our transition to Vision 4 and move to Police Control. ADDITIONAL INFO - VISION 4 should have been implemented last year but continued delays and a technical backtrack by Capita has meant a significant delay into 2019/20 Financial year. This Person is integral to the support group who are implementing the Hardware element for LFR. His removal would jeopardise both LFR's implementation as well as the partner's. The substantive post for this person is in our Ops support team that is running short but struggling as we have major projects such as 33 new fire engines to implement.	One off for FY 2019/20	Current projection is this will be resolved by year end	41,176

Cor14	Fire and Rescue	<p>The Service continues to support the upgrading of the Fire Safety Team, but with the planned shortfall in CFP Staff (retirement x1 – potential promotion out of the department x 1, Maternity Leave x 1) the proposal would be to offer a fixed term post at G5 to train the third placed candidate from the recent selection process (on call member) to a competent level. Once the year is completed we will have one member who is skilled and could be used as required or be eligible for any future positions.</p> <p>ADDITIONAL INFO . The two new prevention posts are being recruited and will bring us into line with the HMIC's expectations. However, The Protection team have a significant risk of skills loss for specialist posts (likely to lose two qualified staff this year) due to impending retirements / development. The posts have a long duration development route and so when people leave it is up to 1 year to have them auditing. This extra post on a fixed term gives us some resilience and pre planning for skills loss that is hard to replace quickly.</p>	One off for FY 2019/20, this will include the training and development costs.	No – Ongoing budget implications	30,000
Cor15	Fire and Rescue - BLUELIGHT	Continuation of Business Support for completion of South Park build Grade 3 for 6 months	One off for FY 2019/20	Not applicable	12,000
Cor16	Coroners	Archiving and rationalising of historic Coroner's paperwork to avoid storage costs , 12 month project.	One off	n/a	20,000
Cor17	Safer Communities	Support for the Safer Together Collaboration Project , includes moving team, legal costs and IT requirements.	One off	n/a	25,000
		TOTAL			536,012
				Difference - none	-
		GRAND TOTAL			3,473,174

Appendix C – Capital Performance Report – Part 1

Line Number	Project	Gross Expenditure			Grants & Contributions			Net Expenditure		
		Actuals	Revised budget	Outturn Variance	Actuals	Revised budget	Outturn Variance	Actuals	Revised budget	Outturn Variance
		£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
1	Public Health	8	8	0	0	0	0	8	8	0
	<u>Wellbeing</u>	8	8	0	0	0	0	8	8	0
2	Adult Care	61	61	0	0	0	0	61	61	0
3	Better Care Fund - Disabled Facility Grants	5,698	5,698	0	-5,698	-5,698	0	0	0	0
	<u>Adult Frailty & Long Term Conditions</u>	5,759	5,759	0	-5,698	-5,698	0	61	61	0
	Adult Care & Community Wellbeing	5,767	5,767	0	-5,698	-5,698	0	68	68	0
4	Broadband	5,100	5,921	-821	-4,903	-4,903	0	197	1,018	-821
5	Infrastructure and Refresh Programme	426	1,087	-661	-29	0	-29	397	1,087	-690
6	Replacement ERP Finance System	1,100	1,601	-502	0	0	0	1,100	1,601	-502
7	Care Management System (CMPP)	55	66	-11	-3	0	-3	52	66	-14
8	ICT Development Fund	1,794	2,690	-895	0	0	0	1,794	2,690	-895
9	Property	2,928	3,418	-489	0	0	0	2,928	3,418	-489
10	Property Rationalisation Programme	1,080	849	231	-3	0	-3	1,078	849	228
11	Blue Light South Park	12,606	13,793	-1,186	-6,814	-8,000	1,186	5,793	5,793	0
12	Lexicon House	975	975	0	0	0	0	975	975	0
13	Windows 10 Refresh 2018	179	2,500	-2,321	0	0	0	179	2,500	-2,321
	<u>Enablers & Support To Council's Outcomes</u>	26,244	32,899	-6,655	-11,751	-12,903	1,152	14,493	19,996	-5,503
14	Fire & Rescue and Emergency Planning	433	1,495	-1,062	-5	0	-5	428	1,495	-1,067
15	Fire Fleet Vehicles and Associated Equipment	1,884	4,882	-2,998	0	0	0	1,884	4,882	-2,998
16	Registration Celebratory & Coroners Services	22	55	-33	0	0	0	22	55	-33
	<u>Protecting The Public</u>	2,339	6,432	-4,094	-5	0	-5	2,334	6,432	-4,099
	Finance & Public Protection - Commissioning	28,583	39,331	-10,749	-11,756	-12,903	1,147	16,827	26,428	-9,601
17	Devolved Capital	1,639	1,639	0	-2,817	-2,817	0	-1,178	-1,178	0
18	Provision of School Places (Basic Need)	8,893	9,138	-245	-17,371	-17,371	0	-8,478	-8,233	-245
19	School Condition / Maintenance Capital	3,152	0	3,152	0	0	0	3,152	0	3,152
20	Schools Modernisation / Condition Capital	2,013	5,176	-3,163	-5,147	-5,147	0	-3,135	28	-3,163
21	Schools Access Initiative	101	101	0	0	0	0	101	101	0
22	Other Academies	0	-8	8	0	0	0	0	-8	8
23	Other Learn & Achieve	522	1,120	-598	-862	-771	-91	-341	348	-689
	<u>Learn & Achieve</u>	16,320	17,166	-846	-26,198	-26,107	-91	-9,878	-8,941	-937
24	Universal Infant Free School Meals Capital	211	211	0	-350	-350	0	-139	-139	0
25	Foster Capital	214	586	-372	0	0	0	214	586	-372
26	Short Breaks for Disabled Children	0	20	-20	0	0	0	0	20	-20
27	Children's IT	1,691	1,855	-164	0	0	0	1,691	1,855	-164
	<u>Children are Safe & Healthy</u>	2,116	2,672	-557	-350	-350	0	1,766	2,322	-557
28	Lincolnshire Secure Unit	0	2	-2	0	0	0	0	2	-2
	<u>Readiness for Adult Life</u>	0	2	-2	0	0	0	0	2	-2
29	Early Years Sufficiency / Extended Provision	64	135	-71	0	0	0	64	135	-71
30	Other Readiness for School	217	187	30	-30	0	-30	187	187	0
	<u>Readiness for School</u>	281	322	-41	-30	0	-30	251	322	-71
	Childrens Services - Commissioning	18,716	20,162	-1,446	-26,578	-26,457	-121	-7,861	-6,295	-1,567

Appendix C – Capital Performance Report – Part 2

Line Number	Project	Gross Expenditure			Grants & Contributions			Net Expenditure		
		Actuals	Revised budget	Outturn Variance	Actuals	Revised budget	Outturn Variance	Actuals	Revised budget	Outturn Variance
		£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
31	Libraries	240	348	-109	0	0	0	240	348	-109
	Community Resilience & Assets	240	348	-109	0	0	0	240	348	-109
32	Flood Defence	0	1,100	-1,100	0	0	0	0	1,100	-1,100
33	Other Protecting & Sustaining the Environment	0	46	-46	0	0	0	0	46	-46
34	Energy from Waste	700	700	0	0	0	0	700	700	0
35	Flood & Water Risk Management	696	1,173	-477	-307	-190	-117	389	983	-594
36	Boston Household Waste Recycling Centre	526	646	-120	0	0	0	526	646	-120
37	Equipment & Vehicles at Waste Transfer Stations	186	441	-255	0	0	0	186	441	-255
38	Fire Suppression at Waste Transfer Stations	0	500	-500	0	0	0	0	500	-500
	Protecting & Sustaining the Environment	2,108	4,605	-2,497	-307	-190	-117	1,801	4,415	-2,614
39	Highways Asset Protection	53,983	57,903	-3,921	-46,683	-46,469	-214	7,300	11,434	-4,135
40	Integrated Transport	1,734	2,012	-278	-3,573	-3,529	-45	-1,839	-1,516	-323
41	Lincoln Eastern Bypass	26,020	47,890	-21,870	-6,461	-6,461	0	19,559	41,429	-21,870
42	Lincoln East-West Link	300	298	2	0	0	0	300	298	2
43	Spalding Relief Road (Phase I)	6	0	6	0	0	0	6	0	6
44	Grantham Southern Relief Road	4,452	2,141	2,312	0	0	0	4,452	2,141	2,312
45	A16/A1073 Spalding to Eye Road Improvement	19	33	-14	0	0	0	19	33	-14
46	Other Sustaining and Developing Prosperity Through Infrastructure	60	181	-121	-8	0	-8	52	181	-129
47	Lincoln Growth Point	626	177	449	3	0	3	629	177	452
48	Lincolnshire Waterways	2	-142	144	0	0	0	2	-142	144
49	Historic Lincoln	396	468	-72	-450	-450	0	-55	17	-72
50	Street Lighting Transformation	252	610	-358	0	0	0	252	610	-358
51	Lincolnshire Enterprise Partnership Contribution	0	3,057	-3,057	0	0	0	0	3,057	-3,057
52	Network Resilience	28	540	-512	0	0	0	28	540	-512
53	NPIF - National Productivity Investment Fund	1,896	1,896	0	-338	-338	0	1,558	1,558	0
54	A46 Welton Roundabout (Integrated Transport/NPIF)	196	400	-204	-800	-800	0	-604	-400	-204
55	Holdingham Roundabout (Sleaford Growth Schemes)	52	105	-53	0	0	0	52	105	-53
56	Other Transport Initiatives	619	1,379	-761	-549	-549	0	70	831	-761
57	Lincoln Castle Revealed phase 2	1,067	1,067	0	-640	-640	0	427	427	0
58	A46 Roundabouts	69	400	-331	0	0	0	69	400	-331
59	Countryside Rights of Way	252	250	2	0	0	0	252	250	2
60	A1084 Safer Road Fund	0	0	0	-1,245	-1,245	0	-1,245	-1,245	0
61	A631 Middle Rasen to Bishops Bridge Safer Road Fund	0	0	0	-645	-645	0	-645	-645	0
62	Gainsborough Corringham Road (Dev with WLDC)	0	216	-216	0	0	0	0	216	-216
63	Sleaford Rugby Club (Sleaford Growth Scheme)	34	200	-166	0	0	0	34	200	-166
	Sustaining & Developing Prosperity Through Infrastructure	92,064	121,082	-29,018	-61,390	-61,126	-263	30,674	59,956	-29,282
64	Other Sustaining and Growing Business and the Economy	613	891	-279	42	0	42	655	891	-237
65	Teal Park, Lincoln	14	5	9	0	0	0	14	5	9
66	Holbeach Food Enterprise Zone	320	390	-70	0	0	0	320	390	-70
67	LEP Skills Investment Programme	837	837	0	0	0	0	837	837	0
	Sustaining & Growing Business & the Economy	1,783	2,123	-340	42	0	42	1,825	2,123	-298
	Place - Commissioning	96,194	128,158	-31,964	-61,654	-61,316	-338	34,540	66,842	-32,302
68	New Developments Capital Contingency Fund	0	6,638	-6,638	0	0	0	0	6,638	-6,638
	Other Capital Programmes	0	6,638	-6,638	0	0	0	0	6,638	-6,638
	Other Programmes	0	6,638	-6,638	0	0	0	0	6,638	-6,638
	Total Capital Programme 2018/2019	149,260	200,056	-50,796	-105,686	-106,374	688	43,574	93,681	-50,108

Appendix D – Prudential Indicators 2018/19

PRUDENTIAL INDICATORS ACTUAL COMPARED TO ESTIMATED 2018/2019			
Original Estimate	2018/19 £000	Actuals	2018/19 £000
Capital Expenditure Net	84,677	Actual Capital Expenditure (Excl Sch RCCO & Leasing)	43,574
Capital Financing Requirement 31/3/2019	640,034	Actual Capital Financing Requirement 31/3/2019	556,484
Capital Financing Requirement Estimate at 31/3/2021	685,231	Capital Financing Requirement Estimate 31/3/2021	601,681
Gross External Borrowing	526,898	Actual Gross External Borrowing	466,972
Borrowing in Advance of Need Limit	11,299	Actual Borrowing in Advance of Need Taken	0
MRP & Interest Repayments not to exceed 10% of Net Revenue Stream		MRP & Interest Repayments not to exceed 10% of Net Revenue Stream	
Estimate	5.72%	Actual	5.12%
Ratio of Financing Costs To Net Revenue Stream	5.62%	Actual Ratio of Financing Costs To Net Revenue Stream	5.00%
External Debt:			
<u>Authorised limit for external debt -</u>		Actual external debt at 31/3/19	
borrowing	651,751	Borrowing	466,972
other long term liabilities	12,984	Other long term liabilities(Credit Arrangements)	10,270
TOTAL	664,735	TOTAL	477,242
<u>Operational boundary -</u>			
borrowing	636,751		
other long term liabilities	10,984		
TOTAL	647,735		
Treasury Management:			
Upper limit for variable rate exposure		Actual exposure variable interest	
Net principal re variable rate borrowing less investments	205,569	Net Principal	-40,688
Upper limit for total principal sums invested for over 364 days (per maturity date)	40,000	Actual sums invested > 364 Day	12,229
Maturity structure of fixed rate borrowing during 2018/19	upper limit	Actual maturity structure as at 31 March 2019	
under 12 months	25%	under 12 months	3.11%
12 months and within 24 months	25%	12 months and within 24 months	3.11%
24 months and within 5 years	50%	24 months and within 5 years	6.43%
5 years and within 10 years	75%	5 years and within 10 years	13.00%
10 years and above	100%	10 years and above	74.30%

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Open Report on behalf of Debbie Barnes OBE, Head of Paid Service

Report to:	Executive
Date:	09 July 2019
Subject:	Performance Reporting against the Council Business Plan - Quarter 4
Decision Reference:	I016869
Key decision?	No

Summary:

This report presents an overview of performance for Quarter 4 against the Council Business Plan.

Executive can view performance on the web using this [link](#)

Recommendation(s):

That Executive:-

1. Note and consider 2018/2019 Quarter 4 performance.
2. Approve the proposed change to reporting as set out in this report.

Alternatives Considered:

1. No alternatives have been considered to recommendation 1 as it reflects factual information presented for noting and consideration.
2. The alternative to recommendation 2 is not to make any changes in reporting as recommended in this report and instead to continue to report against the measures as published in the Council Business Plan 2018/2019. However, without the recommended change, these measures are not considered to assist the Executive in obtaining an accurate picture of the organisation's performance.

Reasons for Recommendation:

To provide the Executive with information about Quarter 4 performance against the Council Business Plan 2018/2019 and propose changes to reporting to assist the Executive in monitoring that performance in future.

1. Background

The Council Business Plan 2018/2019 was approved by Council on 23rd February 2018. This report provides the Executive with highlights of Q4 performance. The full range of performance is hosted on the Lincolnshire Research Observatory (LRO) available to view on this [link](#).

Headlines Quarter 4 performance

All of the commissioning strategies are reported in Q4 and there has been some movement in headline performance since Q3.

Of the 16 commissioning strategies: 5 performed really well (all measures reported in Q4 achieved the target) compared with 8 in Q3; 6 performed well (all but 1 measure reported in Q4 achieved the target), compared with 2 in Q3; 5 had mixed performance (some measures achieved and some measures did not achieve the target in Q4), compared with 4 in Q3.

The good news

The following 5 commissioning strategies have performed really well (all measures reported in Q4 achieved the target).

- [Carers](#)
- [Children are safe and healthy](#)
- [Learn and achieve](#) reported for the first time in Q4 this year
- [Specialist adult services](#)
- [Sustaining and growing business and the economy](#)

There are several areas where performance exceeded the target throughout 2018/2019:-

- [236 high risk premises inspected by Trading Standards](#) (M3) in 2018/2019 (Target 221)
- [10,153 reported incidents of domestic abuse](#) (M7) in 2018/2019 (Target 9,716)
- [42.7 looked after children per 10,000](#) (M23) as at Q4 (Target 48)
- [303 children who are subject to a child protection plan](#) (M24) as at Q4 (Target 340)
- [362 days is the average time taken to move a child from care to an adoptive family](#) (M25) in Q4 (Target 400 days)
- [138 days is the average time taken to match a child to an adoptive family](#) (M26) in Q4 (Target 175)
- [62.7% of people aged 40 to 74 offered and received an NHS health check](#) (M33) in Q3 (Target 55%)
- [857 new voluntary and community groups actively supported in Lincolnshire](#) (M39) in 2018/2019 (Target 800)
- [1,005 permanent admissions to residential and nursing care homes aged 65+](#) (M60) in 2018/2019 (Target 1,150)
- [97.4% achievement of KPIs - VINCI Facilities Partnership Limited contract](#) (M 101) (Target 75%)

- [2,509 people supported who have accessed volunteer opportunities](#) (M105) (Target 1,400)

The following 6 commissioning strategies performed well (all but 1 measure reported in Q4 achieved the target).

- [How we effectively target our resources](#) (Combination of 3 commissioning strategies) performed very well in Q3, [Public Service Network](#) (M99) is non-compliant and is reported for the first time in Q4 this year.
- [Readiness for Adult Life](#) (performed very well in Q3) [Achievement gap between pupils eligible for Free School Meals \(FSM\) and their non-FSM eligible peers nationally at KS4](#) (M42) did not achieve the target and is reported for the first time in Q4 this year.
- [Safeguarding adults](#)
- [Sustaining and developing prosperity through infrastructure](#) reported for the first time in Q4 this year.

Mixed performance

The following 5 commissioning strategies had mixed performance (some measures achieved and some measures did not achieve the target).

- [Adult Frailty, long term conditions](#) (performed well in Q3). [Completed episodes of reablement](#) (M124) has not achieved the target in Q4 (target was achieved in Q3).
- [Community resilience and assets](#)
- [Protecting and sustaining the environment](#)
- [Protecting the public](#) 3 measures did not achieve the target: [Unsafe and counterfeit goods removed from the market](#) (M2), [Adults Reoffending](#) (M14) (neither achieved the target throughout the year) and [Deliberate secondary fires](#) (M22) (achieved the target in Q3).
- [Wellbeing](#)

The following commissioning strategy did not achieve the targets

The [Readiness for school](#) commissioning strategy is reported for the first time in 2018/2019 and neither measure achieved the target:

- [Achievement at a good level of development in the Early Years Foundation Stage](#) (M47), performance has dipped slightly from 70% (academic year September 2016 – July 2017) reported in 2017/2018 to 69% (academic year September 2017 – July 2018) reported in 2018/2019. The lowest outcomes were in Literacy. Two key projects will support academies and maintained schools who have dips in Literacy goals to undertake specific work to focus on literacy as a priority. Early Years Child Care (EYCC) will work on early communication and language to support the development of speech and language into Literacy readiness.
- [Achievement gap between pupils eligible for Free School Meals \(FSM\) and their non-FSM Eligible peers nationally achieving Good Level of Development](#) (M48) Early Years Child Care (EYCC) have been proactively collaborating with schools, localities and Early Years providers to share good practice and identify themes and interventions that could contribute to

narrowing the gap. Lincolnshire have been invited to participate in the professional development fund, which has an emphasis on communication, language and narrowing the word gap for our EYPP children. This project will be focused on working with providers in areas of highest deprivation, contributing to the social mobility agenda beginning in September 2019. EYCC is piloting a programme with Family Learning focussing on developing language through play with a focus on children and families eligible for Early years Pupil Premium.

Appendix A provides a summary of the measures that did not achieve the target in Q4.

Proposed changes to reporting performance against the Council Business Plan 2018/19

The relevant Executive Councillor has been consulted and recommends that the Safeguarding enquiries where the 'source of risk' is a service provider (M114) is removed from the Council Business Plan and is replaced with [Adult safeguarding concerns that lead to a safeguarding enquiry](#) (M130). The rationale for this is that the Safeguarding Service want to encourage providers, partners and professionals to submit concerns to the Council only where appropriate, and to ensure these concerns have already been managed and considered within the remit of their organisations and only escalated to the Council as necessary. The Safeguarding Service would therefore expect a higher proportion of concerns progressing to an enquiry, with a corresponding reduction in concerns that do not warrant a full enquiry.

The title of the measure 'Achievement gap between disadvantaged pupils and their peers at key Stage 4' (M42) has been amended to ['Achievement gap between pupils eligible for Free School Meals and their non-Free School Meals eligible peers nationally at KS4'](#) as this better describes what is being reported against this measure - Disadvantaged pupils that achieve at least 5+ grade 5-9 GCSEs including English and Maths compared to all the other pupils. Disadvantaged pupils are defined as Looked After Children and children eligible for free school meals.

The title of the measure 'Achievement gap between disadvantaged pupils and their peers at Foundation stage' (M48) has been amended to ['Achievement gap between pupils eligible for Free School Meals and their non-Free School Meals eligible peers nationally achieving Good Level of Development'](#) as this better describes what is being reported against this measure which is the percentage gap in good level of development at foundation stage.

[Qualifications achieved by adults](#) (M70) the target published in the Council Business Plan 2018/2019 (approved by Council in February 2018) was 525, however the target for Qualifications achieved by Adults has been increased from 525 in 2018/19 to 1,000 in the 2019/20 Council Business Plan for the following reasons:- the number of adults seeking vocational training leading to a qualification to help them secure employment has increased; our commissioned training providers have restructured their course offer to meet this need; and over that last year we have had higher numbers of adults accessing English and Maths qualifications to help

with their employability. It is for these reasons that the service seeks approval to increase the 2018/2019 target from 525 to 1,000. The 2018/2019 outturn is 1,114.

2. Legal Issues:

Equality Act 2010

Under section 149 of the Equality Act 2010, the Council must, in the exercise of its functions, have due regard to the need to:

- * Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act
- * Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it
- * Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The relevant protected characteristics are age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; and sexual orientation

Having due regard to the need to advance equality of opportunity involves having due regard, in particular, to the need to:

- * Remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic
- * Take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it
- * Encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low

The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.

Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to tackle prejudice, and promote understanding.

Compliance with the duties in section 149 may involve treating some persons more favourably than others.

The duty cannot be delegated and must be discharged by the decision-maker. To discharge the statutory duty the decision-maker must analyse all the relevant material with the specific statutory obligations in mind. If a risk of adverse impact is identified consideration must be given to measures to avoid that impact as part of the decision making process.

The Report presents performance against the outcomes and measures that are the Council Business Plan many of which relate to people with a protected characteristic including young people, older people and people with a disability. It

is the responsibility of each service when it is considering making a change, stopping, or starting a new service to make sure equality considerations are taken into account and an equality impact analysis completed.

Joint Strategic Needs Analysis (JSNA and the Joint Health and Wellbeing Strategy (JHWS)

The Council must have regard to the Joint Strategic Needs Assessment (JSNA) and the Joint Health & Well Being Strategy (JHWS) in coming to a decision.

The Report presents performance against the outcomes and measures that are the Council Business Plan many of which relate directly to achievement of health and wellbeing objectives.

Crime and Disorder

Under section 17 of the Crime and Disorder Act 1998, the Council must exercise its various functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it reasonably can to prevent crime and disorder in its area (including anti-social and other behaviour adversely affecting the local environment), the misuse of drugs, alcohol and other substances in its area and re-offending in its area.

The Report presents performance against the outcomes and measures that are the Council Business Plan some of which relate to crime and disorder issues.

3. Conclusion

This report presents an overview of performance for Quarter 4 against the Council Business Plan 2018/2019 and proposed changes to reporting to assist the Executive in monitoring that performance in future. Executive is invited to consider performance and consider and approve the proposed changes to reporting.

4. Legal Comments:

The Executive is responsible for ensuring that the Executive functions are discharged in accordance with the Budget and Policy Framework of which the Business Plan is a part. This report will assist the Executive in discharging this function.

The recommendation is lawful and within the remit of the Executive.

5. Resource Comments:

Acceptance of the recommendation in this report has no direct financial consequences for the Council.

6. Consultation

a) Has Local Member Been Consulted?

N/A

b) Has Executive Councillor Been Consulted?

N/A

c) Scrutiny Comments

On 27 June 2019, the Overview and Scrutiny Management Board considered the report and agreed to support the recommendations to the Executive.

Sustaining and Growing Business and the Economy Commissioning Strategy - Qualifications achieved by adults (Measure 70)

The Board was informed that the Qualifications achieved by adults (Measure 70) had initially been reported in the Executive report considered by the Board as not meeting the target in Quarter 4, when in fact the target of 525 had been exceeded and the 2018/2019 outturn was 1,114. The Board supported the amendment of the annual target from 525 as published in the Council Business Plan 2018/2019 to 1,000 for the 2018/19 and 2019/20 Council Business Plans. As a result, there would be changes to the Executive report due to an improvement in the number of commissioning strategies that had performed really well from four to five commissioning strategies as the Sustaining and Growing Business and the Economy Commissioning Strategy had now achieved all its targets. In response to a query about whether the targets were correct where the measures were overachieving all the time, it was confirmed that the targets were reviewed throughout the year to ensure there was the right of level of output and to identify any need to redistribute resources.

Readiness for School Commissioning Strategy – Achievement at a good level of development in the Early Years Foundation Stage (Measure 47) and Achievement gap between pupils eligible for Free School Meals and their non-Free School Meal eligible peers nationally achieving Good Level of Development (Measure 48)

With regards to the two Readiness for School measures, concern was raised regarding the focus on literacy as a priority and whether there would be any negative impact on numeracy as a result. In addition, concern was raised in relation to the widening achievement gap between pupils eligible for Free School Meals and their non-Free School Meals eligible peers and whether there would be more pressure on teachers if more pupils were in receipt of Free School Meals. In addition, figures were requested for numeracy and literacy in Lincolnshire including a comparison to other regions. Officers agreed to raise these queries with the service area.

Safeguarding Adults Commissioning Strategy - Safeguarding enquiries where the source of risk is a service provider (Measure 114) and Adult safeguarding concerns that lead to a safeguarding enquiry (Measure 130)

Concerns were raised regarding the removal of Measure 114 from the Council Business Plan and it being replaced with Measure 130. A Board member highlighted that Measure 114 was a national measure and questioned why it had been removed from the Council Business Plan. It was confirmed that it had been replaced in the Council Business Plan by the new measure to ensure that escalation was occurring at the right level. The Board recommended that both measures should be included in the Council Business Plan and agreed that these measures should be referred to the Adults and Community Wellbeing Scrutiny Committee for consideration and to reflect on the Board's recommendation at its meeting on 3 July 2019, and record its comments for the Executive's consideration on 9 July 2019.

Protecting the Public Commissioning Strategy - Adults Reoffending (Measure 14)

With regards to Adults Reoffending, concern was raised about the target not being met and it was queried what was being done to tackle the increase in reoffending rates, where the problems were, and what type of crimes were being committed. It was highlighted that the ARC (Assisting Rehabilitation through Collaboration) scheme was in place to help reoffenders, but officers agreed to raise these queries with the service area for a response.

Community Resilience and Assets Commissioning Strategy - Visits to core libraries and mobile library services (Measure 36)

In relation to the changing IT requirements at libraries, it was questioned whether this would be addressed as part of the Council's IT roll out. It was reported that a project was going through to enable GLL (Greenwich Leisure Limited) to undertake a rollout of new IT equipment.

Wellbeing Commissioning Strategy – Percentage of alcohol users left specialist treatment successfully (Measure 31)

It was highlighted that it had been previously agreed to separate out alcohol users and drug users into separate measures, but a measure for drug users had not been put back into the Council Business Plan. Officers agreed to check what had been previously decided in relation to this measure.

General Comment

With regards to those areas not performing well, it was questioned whether there was any correlation with higher levels of sickness absence and lower levels of appraisal completions. Officers reported that they would consult with HR to see if there were any correlations between these and those areas not performing well

d) Have Risks and Impact Analysis been carried out

No

e) Risks and Impact Analysis

Any changes to services, policies and projects are subject to an Equality Impact Analysis. The considerations of the contents and subsequent decisions are all taken with regard to existing policies.

7. Appendices

These are listed below and attached at the back of the report	
Appendix A	Summary of those measures where the target was not achieved in Quarter 4

8. Background Papers

Q1, Q2 and Q3 Executive Reports can be accessed via Democratic Services.

Document Title	Where document can be accessed
Executive Report 4 th September 2018 Council Business Plan 2018 - 2019 Performance Report, Quarter One	via Democratic Services.
Executive Report 18 th December 2018 Council Business Plan 2018 - 2019 Performance Report, Quarter Two	via Democratic Services.
Executive Report 5 March 2019 Council Business Plan 2018/2019 Performance Report, Quarter Three	via Democratic Services.

This report was written by Jasmine Sodhi, who can be contacted on 01522 552124 or jasmine.sodhi@lincolnshire.gov.uk

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Summary of those measures where the target was not achieved in Quarter 4

The following 5 commissioning strategies had mixed performance (some measures achieved and some measures did not achieve the target)

1. [Adult Frailty, long term conditions](#)

[Adults who receive a direct payment](#) (M63)

Performance for this measure has remained quite static during the year which has meant that the ambitious target of 40% has not been achieved; the Q4 out turn is 32.7%. For clients aged 65 in particular, Lincolnshire still remains well above the national average, which was 18% last year, indeed current performance suggests Lincolnshire would be in the upper quartile. Direct payments are promoted by fieldworkers for people taking a community package and this can be via a prepayment card, paid straight into their bank account or managed by our Direct Payment Support Service provider, Penderel's Trust. The target in the Council Business Plan 2019/2020 is 40%.

[Completed episodes of reablement](#) (M124)

Q4 performance is 88.3% compared with the target of 95% but encouragingly shows a slight increase from 87% in 2017/18. Q3 performance of 91% was within the target range of 90% - 100%. Allied Healthcare went into administration during the year, which caused an unanticipated disruption, whilst a replacement provider was urgently found. Consequently, there was reduced capacity in the service and recording was disrupted. Whilst the volume of people accessing reablement dipped, the quality of service appears to be have been unaffected with a similar proportion of people being diverted away from long term support compared to last year. Also, in Quarter 4 this measure was exclusively reported from Mosaic, whereas in the past there has been a reliance on the provider for data extracts which were difficult to match to LCC records. The reporting is therefore much more efficient from a single source, and is likely to be more robust. The annual target for this measure in the Council Business Plan 2019/2020 remains at 95%.

2. [Community resilience and assets commissioning strategy](#) the following 2 measures have not achieved the target in Q4. Both did not achieve the target in Q1, Q2 and Q3.

[Contact with the heritage service](#) (Measure 35)

An actual of 4,012,720 contacts were achieved for 2018/2019 overall, compared with a target of 4,800,000. Whilst the annual cumulative target was not achieved, the service performed well in Q4 (1,176,311 contacts), decreasing the performance gap from the previous quarter (728,235 contacts). This was due to an increase in web activity and site visits to The Collection for Museum of the Moon. As reported in Q1, Q2 and Q3 technical difficulties with Lincs to the Past website have resulted in a decrease in activity through the website. The annual target for this measure in the Council Business Plan 2019/2020 is 3,600,000 contacts and reflects a picture of nationally declining numbers and IT difficulties.

[Visits to core libraries and mobile library services](#) (Measure 36)

An actual of 1,438,699 visits were achieved for 2018/2019 overall, compared with a target of 1,665,479. In Q4 there were 348,277 visits, 70,045 visits below the Q4 target of 418,322 (Jan -14,736; Feb -34,839; March -20,470). As reported in Q1, Q2, and Q3, the low number of visits is attributed to not being able to keep pace with the changing IT requirements and expectations of our customers. It also needs to be recognised that this is against a national picture of declining library visits as well as there being more options for our customers within their local communities from the independent Community Hub provision (these visits are not counted in this figure).

3. [Protecting the public commissioning strategy](#) – the following 2 measures have not achieved the target in Q4. Neither met the target in Q1, Q2, and Q3.

[Unsafe and counterfeit goods removed from the market](#) (Measure 2)

An actual of 8,015 counterfeit and unsafe goods were removed from the market for 2018/2019 overall, compared with a target of 31,000. 5,043 of these were counterfeit, 2,972 were unsafe. The annual target has not been achieved, largely due to far fewer counterfeit goods seized as we are working with premises to bring them into compliance to ensure goods are not made available for sale in the first instance. Historically we have seized large numbers of counterfeit items from markets, particularly those operating around the coast. We have worked with the

operators, the national markets group and brand holders over the past few years and this has resulted in a significant drop in the level of counterfeit items being sold at these locations. Similarly we have worked with stallholders to make them aware of basic safety checks which have resulted in a drop in the number of unsafe items on sale. The measure has been amended in the Council Business Plan 2019/2020, to 'Unsafe goods removed from the market' with an annual target of 3,000 products to reflect this change.

Adults Reoffending (Measure 14)

This measure is reported with a one quarter lag, Q3 is the latest performance. Between April 2017 and December 2017 there were 4,467 adult offenders (the cohort). In the 12 months following identification (between April 2017 to December 2018), of those 4,467 adult offenders, 1,356 re-offended resulting in the 30.4% adult re-offending rate, against a target of 27.6%. On average, each reoffender committed 3.9 additional crimes within twelve months of their index offence. The most prolific offenders continue to be adopted by the ARC (Assisting Rehabilitation through Collaboration) scheme. This measure has not achieved the target throughout 2018/2019. The annual target for this measure in the Council Business Plan 2019/2020 is 29.8%.

Deliberate secondary fires (Measure 22)

Although the annual target has not been achieved, numbers were either within the tolerance range or better than target for the first three quarters of 2018/2019. When compared to 2017/2018 there is an increase of only 1 incident. It is also worth noting that the 2018/2019 target is only 1 incident outside of our tolerance range. Deliberate fires involving refuse/refuse containers continue to account for the majority of these incidents (148 of the 256 – 58%) so it is pleasing to see that, as previously reported earlier in the year, there has been a reduction in these compared to last year (down from 175 – 15% reduction). There has been a small increase in deliberate fires involving grassland (up from 45 last year to 58) and in derelict buildings, which although remain relatively small in number have almost doubled (up from 18 to 30 – 67% increase).

4. [Wellbeing commissioning strategy](#)

[Percentage of alcohol users left specialist treatment successfully](#) (Measure 31)

This measure is reported with a one quarter lag and so the latest performance is for Q3. Performance for this report period is 32.4%, slightly below the previous quarter and 7.6 percentage points below the 40% target. Work is currently being undertaken to compare Lincolnshire's performance against our main comparator areas with regard to contract size, number of clients and key outcomes. Current re-presentation rates to the service are very low at 4.2% compared with our main comparator areas average of 7.6%. Re-presentations are a good way to judge if people are leaving services and staying problem free in the long term, but to ensure these outcomes remain high it is paramount clients leave treatment when ready to do so and not before. The provider continues to seek new and innovative ways to provide the service to maintain the good re-presentation rates and improve the successful completions, but with high caseloads and limited resources this is difficult. The annual target for this measure in the Council Business Plan 2019/2020 remains at 40%.

[People successfully supported to quit smoking](#) (Measure 111)

This measure is reported with a one quarter lag, therefore Q3 performance is the latest available data for this measure. Although the provider only reached 65% of the Q3 target (521 of 800 people) there has been some improvement in the types of smokers supported. The number of pregnant women supported by the service has increased due to changes in staffing and improved partnership working, with more sessions facilitated within antenatal clinics and in children's centres. There is more work to be done but the new Integrated Lifestyles Service will build on this when it takes over in July 2019. The service continues to target the most hardened smokers that need more support to help them to quit and to stay smoke free. The average Lincolnshire quit rate (at 4 weeks) for April to December 2018 was 48.5% (Source NHS Digital), compared to a national (England) figure of 51.5%. The annual target for this measure in the Council Business Plan 2019/2020 remains at 3,200.

Chlamydia Diagnosis (Measure 34)

The data is published nationally 6 months in arrears so reflects performance in the second quarter of 2018. The performance in this quarter did not meet the target of 2,045. As reported in the last performance report this was expected due to changes in the provider's delivery model. The Sexual Health Services (LISH) have an action plan in place to improve their performance which includes partnership work and collaboration, including midwifery services, Addaction and school immunisation services and the situation is being continually monitored. Online self-testing remains very popular and has the highest positivity rate, indicating this service is well targeted. Lincolnshire is ranked 5th out of 9 Local Authorities in the East Midlands Region. There is only one Local Authority in our Cipfa comparator group (Lancashire) that is meeting the national target of 2,300. Positive test results remain high at 10.4% (target 8%) suggesting the services remain well targeted. The Public Health England (PHE) Regional Advisor for Sexual Health has advised that the positivity rate should be the main quality indicator. Relationships with sub-contracted General Practitioner's and Pharmacies have developed to improve and promote the chlamydia testing programme are on-going. The annual target for this measure in the Council Business Plan 2019/2020 remains at 2,045.

5. Protecting and sustaining the environment commissioning strategy

Recycling at County Council owned Household Waste Recycling Centres (HWRC) (Measure 76)

The overall total for 2018/2019 is 74%, against a target of 75%. Although this is an improvement on the Q3 forecast of 72.4% it is slightly below the Q3 out turn of 74.1%. This is due to more recyclable materials and garden waste being presented at sites. Due to international market factors and operational requirements the processing of some materials have moved down the waste hierarchy from recycling to recovery. The target in the Council Business Plan 2019/2020 is 74% and through the new Joint Municipal Waste Management Strategy we will be seeking to review our HWRC service in order to overcome the challenges facing us and gradually return to our previous level of performance (75%).

[Household waste recycled](#) (Measure 78)

An actual of 43.9% was achieved in Q4 against a target of 55%. The tonnage is down by approximately 14,000 tonnes compared to 2016/2017; much of that difference (approximately 7,000 tonnes) came in Q4, which is why the service had not previously forecast such a low overall tonnage. This is largely due to an increase in reported levels of contamination of the mixed dry recycling compared to 2016/2017, and that the green waste composted has reduced due to adverse weather conditions in February and March. All Waste Collection Authorities (WCA's) now charge for green waste collections and this may also reduce the total green waste collected.

The target in the Council Business Plan 2019/2020 is 48.5% in line with our draft Joint Municipal Waste Management Strategy objective "*To contribute to the UK recycling target of 50% by 2020*", the targets reflect steady progress towards 50%.

The following 6 commissioning strategies performed well (all but 1 measure reported in Q3 achieved the target):-

1. [How we effectively target our resources](#) (Combination of 3 commissioning strategies) performed very well in Q3

[Public Service Network \(PSN\) connection compliance](#) (M99) is reported for the first time in 2018/2019 in Q4 and is non-compliant. Achieving PSN compliance remains a key objective. Progress continues to be made on the required remedial work with some very positive changes implemented that not only benefit the PSN submission but also the wider ICT environment. However, despite this there remains significant work to get the council to a position whereby a submission would be deemed appropriate. This work remains complex in nature and therefore an accurate target date for resubmission is not currently available. This priority work will continue initially focussing on planned technical solutions and upgrades, however there will also be a number of systems and applications within service areas that, due to their age, will be impossible to make compliant. Therefore discussions with service areas will take place to identify these systems and applications and evaluate the impact of switching them off or, if business critical, upgrading them or using alternatives. The

technical elements of this work should be completed during Q3 of 2019/2020 and the service applications should be completed during Q4 2019/2020, which will enable us to complete the PSN submission by the end of Q4 2019/2020.

2. [Readiness for Adult Life](#) (performed very well in Q3)

[Achievement gap between pupils eligible for Free School Meals \(FSM\) and their non-FSM eligible peers nationally at KS4](#) (M42) is reported for the first time in 2018/2019 in Q4.

The Actual is 29.6% against a target of 26%. Schools have fed back that the transition to new assessment measures and exam specifications introduced by the Department for Education complicates year-on-year comparison of the achievement gap due to the non-comparable nature of 'grade A*-G' and 'grade 9 to 1' introduced in July 2016. When analysing the Free School Meals (FSM) data set, it is clear that the gap in the percentage of pupils achieving a grade 5 or more in English and Maths between pupils eligible for Free School Meals in Lincolnshire and their non-Free School Meal peers nationally has widened slightly (by 0.6%) between 2017 and 2018, as other pupils nationally improve marginally but Lincolnshire FSM pupils' outcomes remain steady. The Lincolnshire/national gap is wider than the East Midlands/national gap. We are roughly in line with our statistical neighbours for the Free School Meals cohort. This measure is the final data for the academic year September 2017 - August 2018. The target in the Council Business Plan 2019/2020 is 27%.

3. [Safeguarding adults commissioning strategy](#)

[Adult safeguarding concerns that lead to a safeguarding enquiry](#) (M130) is a new measure for the Council Business Plan replacing Percentage of completed safeguarding referrals where source of risk was a service provider (Measure 114)

The target of 50% was based on the limited data available for the first 9 months of 2018/2019 and it was therefore agreed that this would need to be kept under review. The inclusion of the most recently available data has provided an out turn figure of 43% at year end. As this is the first year of reporting 43% will be the baseline. The aim is to achieve a 2% increase per quarter in order to reach the target of 50% by

March 2020. Work is currently being undertaken with Providers and the Lincolnshire Safeguarding Adults Board (LSAB) which should positively impact on the referrals received.

4. [Sustaining and developing prosperity through infrastructure](#) commissioning strategy reported for the first time in Q4

[Public satisfaction with Highways and Transport Services](#) (M108) Performance is 48% compared with the target of 52%, which was based on scores achieved in previous years (with a desire for continuing improvement). The likely factors for the dip in overall satisfaction are the increase in potholes caused by the severe winter of 2017/2018, compounding the drop in satisfaction with street lighting which occurred after the street lighting transformation project. A number of measures have been put in place to compensate for this which is why the target will remain at the same level.

The following commissioning strategy did not achieve the targets

The [Readiness for school](#) commissioning strategy is reported for the first time in 2018/2019 and included two measures, neither measure achieved the target:-

[Achievement at a good level of development in the Early Years Foundation Stage](#) (M47) performance has dipped slightly from 70% (academic year September 2016 – July 2017) reported in 2017/2018 to 69% (academic year September 2017 – July 2018) reported in 2018/2019. The lowest outcomes were in Literacy and two key projects will support targeted academies and maintained schools who have dips in Literacy goals to undertake specific work in this area as a priority. Early Years Child Care (EYCC) are working with Early Years Providers on delivering early communication and language to support the development of speech and language into Literacy readiness. EYCC has delivered a session on Closing the Word Gap to the countywide Summer Head Teacher Briefings and a one day free event for PVI sector took place in March to strengthen practitioners understanding of the importance of language in the early years. In addition EYCC has delivered a targeted assessment support programme to schools achieving significantly below the National measure so that they can identify gaps in learning early and focus interventions to improve outcomes for all children.

[Achievement gap between pupils eligible for Free School Meals and their non-FSM Eligible peers nationally achieving Good Level of Development](#) (M48)

Early Years Child Care (EYCC) have been proactively collaborating with schools, localities and Early Years providers to share good practice and identify themes and interventions that could contribute to narrowing the gap. A focus on Early Years Pupil Premium (EYPP) and EAL children (children with English as an additional language) has been an integral part of the work in the past year in order to target our most vulnerable cohorts within the county, with specific focus on the areas in Lincoln and Boston. Lincolnshire have been invited to participate in the professional development fund, which has an emphasis on communication, language and narrowing the word gap for our EYPP children. This project will be focused on working with providers in areas of highest deprivation, contributing to the social mobility agenda beginning in September 2019. EYCC is piloting a programme with Family Learning focussing on developing language through play with a focus on children and families eligible for Early years Pupil Premium.

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Open Report on behalf of Andrew Crookham, Executive Director - Resources

Report to:	Executive
Date:	09 July 2019
Subject:	Final Report from the Transitions Scrutiny Review
Decision Reference:	N/A
Key decision?	No

Summary:

On 30 May 2019, the Overview and Scrutiny Management Board approved the attached scrutiny report on Transitions for submission to the Executive. The report makes a total of three recommendations.

This covering report constitutes the Committee's formal notice under section 9FE(3) of the Local Government Act 2000 to The Executive is requiring the Executive to receive the report and make arrangements for responding to the report by 5 September 2018. This is to comply with the legal requirement contained in the Local Government Act 2000 section 9FE requiring the Executive to respond within two months.

Recommendation(s):

- 1) That the Executive consider the Transitions Scrutiny Review final report.
- 2) That the Executive make arrangements to respond to the report within two months and:
 - (a) to indicate in the response which recommendations have been accepted; and
 - (b) where recommendations are accepted, to bring forward an action plan for their implementation.

Alternatives Considered:

The Executive is legally required to respond to the report within two months. The Executive has the option to accept or not accept each of the recommendations included in the report.

Reasons for Recommendation:

To comply with the legislative and constitutional requirement on the Executive to consider and respond to reports from overview and scrutiny committees within two months.

1. Background

The Overview and Scrutiny Management Board endorsed the terms of reference for the 'Transitions Scrutiny Review' on 30 August 2018. The purpose of the scrutiny review was to consider the individual experiences of young people transitioning into adulthood for those young people with more complex educational needs who receive support through an Education, Health and Care plan (EHCP); and for those young people who are Looked After Children (LAC).

The main lines of enquiry for the scrutiny review were as follows:

- a) To consider and review the experiences of those young people with more complex educational needs who receive support through an Education, Health and Care (EHC) plan and their journey transitioning into adulthood. Including the following:
 - To review the experience of young people and their families/carers, and the overarching principles for good transition
 - Ensuring that arrangements for transition services are robust.
 - To consider processes which are in place to ensure all young people who require transition services are identified and receive services.
 - The planning of transition, support before and after transfer and the supporting infrastructure for transitions.
- b) To review the preparations being made towards the implementation of the Children and Social Work Act 2017, increasing the age of eligibility for support to care leavers from the age of 21 to 25.

The attached report on Transitions was approved by the Overview and Scrutiny Management Board at its meeting on 30 May 2019. The report reflects the work of one of the Council's Scrutiny Panels, which comprised of eight non-Executive Councillors.

The Executive is invited to consider the report and assign responsibility to the relevant Executive Councillor for responding to the report. As part of its response, the Executive is requested to indicate to the Overview and Scrutiny Management Board which recommendations in the report are accepted. Where recommendations are accepted, there is also a request for an action plan, showing what steps are being taken to implement the recommendations, with projected timescales, where possible. This will enable the Overview and Scrutiny Management Board to monitor the implementation of any actions arising from the report.

2. Legal Issues:

Equality Act 2010

Under section 149 of the Equality Act 2010, the Council must, in the exercise of its functions, have due regard to the need to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
- The relevant protected characteristics are age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; and sexual orientation

Having due regard to the need to advance equality of opportunity involves having due regard, in particular, to the need to:

- Remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic
- Take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it
- Encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low

The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities

Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to tackle prejudice, and promote understanding

Compliance with the duties in section 149 may involve treating some persons more favourably than others

The duty cannot be delegated and must be discharged by the decision-maker. To discharge the statutory duty the decision-maker must analyse all the relevant material with the specific statutory obligations in mind. If a risk of adverse impact is identified consideration must be given to measures to avoid that impact as part of the decision making process

The Scrutiny Report relates in large part to arrangements for the transition to adulthood of young people with a protected characteristic. The recommendations of the Scrutiny Report are designed to improve the process of transition for those young people and care leavers and therefore the impacts are considered to be positive.

Joint Strategic Needs Analysis (JSNA and the Joint Health and Wellbeing Strategy (JHWS)

The Council must have regard to the Joint Strategic Needs Assessment (JSNA) and the Joint Health & Well Being Strategy (JHWS) in coming to a decision

The recommendations of the Scrutiny Report are designed to improve the process of transition for young people with an EHC Plan and care leavers to enable them to maximise their potential. The Report therefore contributes directly to their health and wellbeing.

Crime and Disorder

Under section 17 of the Crime and Disorder Act 1998, the Council must exercise its various functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it reasonably can to prevent crime and disorder in its area (including anti-social and other behaviour adversely affecting the local environment), the misuse of drugs, alcohol and other substances in its area and re-offending in its area

There are not considered to be any direct implications for crime and disorder of the matters referred to in the report.

3. Conclusion

In accordance with section 9FE of the Local Government Act 2000 this Report constitutes notice from the Overview and Scrutiny Management Board requiring the Executive to consider the Transitions Scrutiny Review report and to provide and publish a response to the Board indicating what, if any, action the Executive proposes to make.

4. Legal Comments:

The Report introduces the results of a scrutiny review on Transitions. The Report is submitted under section 10 of the Overview and Scrutiny Procedure Rules in the Constitution. The Report contains a notice from the Overview and Scrutiny Management Board under section 9FE of the Local Government Act 2000 and the Executive is required by section 9FE(5) of that Act to comply with the requirements specified in the notice .

5. Resource Comments:

There are no significant financial implications arising from the recommendations in this report, i.e. for the Executive to review the report and make arrangements to respond to it. Financial implications may arise subject to the Executive Councillor subsequently accepting recommendations included in the report and the action plan that is developed. Any such implications will be dealt with, as required, through the normal budget setting process.

6. Consultation

a) Has Local Member Been Consulted?

N/A

b) Has Executive Councillor Been Consulted?

Yes

c) Scrutiny Comments

On 30 May 2019, the Overview and Scrutiny Management Board considered the Transitions Scrutiny Review draft report and supported the recommendations set out in the report. The Board were satisfied that the report be submitted to the Executive on 9 July 2019, without amendment.

The Overview and Scrutiny Management Board made the following additional comments for consideration:

- It was felt that more support needed to be provided for adults who had previously been in foster care but did not remain in contact with their foster families.
- Members emphasised the need to support young people with the transition to adulthood and independence, and to help identify skills that could help them succeed in adulthood.

On behalf of the Overview and Scrutiny Management Board, the Chairman thanked all members of the Transitions Scrutiny Panel for their work on the review.

d) Have Risks and Impact Analysis been carried out?

N/A

e) Risks and Impact Analysis

N/A

7. Appendices

These are listed below and attached at the back of the report	
Appendix A	Transitions Final Report

8. Background Papers

The background papers within Section 100D of the Local Government Act 1972 used in the preparation of this report are the Background Information items described in the Scrutiny Review Report.

This report was written by Daniel Steel, Scrutiny Officer, who can be contacted on 01522 552102 or Daniel.Steel@lincolnshire.gov.uk

TRANSITIONS

Scrutiny Review

April 2019

1. Executive summary

The Scrutiny Panel was established with the purpose of reviewing the individual experiences of young people transitioning into adulthood for those young people with more complex educational needs who receive support through an Education, Health and Care plan (EHCP); and for those young people who are Looked After Children (LAC).

Conclusion

The recommendations of the Panel seek to improve what is already a good process.

The Scrutiny Panel highlighted the following as part of this review:

- Overall transition arrangements in Lincolnshire are good with strong working relationships between Adult and Children's Services and other agencies with respect to the transition of Young People.
- Processes are in place to ensure young people who require transition services are identified effectively.
- Communication between the various relevant organisations is essential to achieve a good transition, including the need to ensure greater promotion of the Local Offer as part of ensuring a positive transition.
- Early dialogue with families has proven to be very successful; and has provided families with a better understanding of requirements and processes. Arrangements are also in place to ensure their voices are heard and are central to the decision making process.
- It is important for professionals to ensure families have a clear understanding of the Local Offer to help ensure realistic expectations.
- It is important to ensure the information included in the Local Offer is effectively promoted to families not directly involved with Children's Services to ensure that the professionals who are responsible for planning transition to adulthood are aware of the most appropriate pathway for transition.
- Where parents have a clear vision of what provision their child should receive, it is essential to have a clear and meaningful approach when advising parents of the services actually available for their child, in order to manage expectations effectively.
- Best practice should be shared and promoted between professionals as part of developing multi-agency working to facilitate effective transitions.
- It was noted that as a result of the engagement undertaken as part of the review that there were reports of a lack of input from Health relating to therapy and occupational health services; as well as the need to improve the quality of EHCP's focus on improving health outcomes.
- The Panel highlighted the need to continue to work to reduce service user frustration and resolve issues as effectively as possible. The Panel highlighted the importance of monitoring satisfaction as an effective measure to monitor the quality of service.
- The Panel support the development of an improved Pathway Plan format for care leavers.
- The Panel highlighted the importance of the Supported Internship Program.

Recommendations

The Scrutiny Panel support implementing the work identified as part of the SEND Steering Group Action Plan, related specifically to the areas of development identified through the Ofsted/CQC Inspection of Special Educational Needs and Disabilities in late 2018.

In addition, the following recommendations will be forwarded to the Executive Councillor for Adult Care, Health & Children's Services for consideration. The recommendations of the Panel seek to improve what is already a good process.

Recommendation 1 – Information and Advice Local Offer

The Scrutiny Panel recommends that Children's Services and Adult Care continue to develop, promote and deliver consistent and clear communications through greater promotion of the local offer. It is envisaged this will be achieved as part of delivering the outcomes of the recent Joint local area SEND inspection.

The Scrutiny Panel highlighted the following themes as part of this recommendation:

1. Promoting early engagement with families/young people and an individualised approach to communication.
2. Ensure information on the local offer is sent out to all those involved in the transitions process as part of a clearly developed communications strategy to ensure a clear and consistent message.
3. Enhancing collaborative working with wider stakeholders so that information about criteria and processes is available to all (Families and professionals)
4. Support the role of the intake team working within schools to promote the opportunity for parents to discuss options through early engagement.
5. Managing expectations effectively in a supportive and engaging way in order to promote positive outcomes as part of a 'life time journey'.
6. Continuing to ensure families are at the heart of a decision making process.
7. Targeted promotion of Advocacy and Advice services such as the Parent Carer Forum and 'Liaise' the Special Educational Needs and Disability (SEND) Information Advice and Support Service.
8. Ensure the information included in the Local Offer is effectively promoted to families not directly involved with Children's Services.
9. Support the development of a 'Progression to Adulthood' section of the local offer.

The Scrutiny Panel support the continued development of the local offer as part of delivering the outcomes of the recent Joint local area SEND inspection. Throughout the review the Panel has heard that early engagement with families and young people is essential in order to manage expectations effectively, in a supportive and engaging way in order to promote positive outcomes.

The recent Joint local area SEND inspection identified that a significant proportion of parents and some professionals who spoke with the inspection team were unaware

of the local offer. Consequently, parents do not always have a clear understanding of the services available to support their children.

The Scrutiny Panel support the work that continues to ensure families are at the heart of a decision making process. Children's Services Teams are not always directly involved with the young person and therefore the people who are responsible for planning transition to adulthood are not always aware of the most appropriate pathway for transition to adulthood. The statutory responsibilities relating to Children in comparison to Adults are also very different and therefore it is important that families understand these differences so as not to have unfairly raised expectations.

The Scrutiny Panel supports the need to ensure information on the Local Offer is sent out to all those involved in transitions at the start of their journey through the process. The Panel also supports the need for a clearly developed and effective communications strategy to ensure a consistent and well promoted message. The Panel identified possible articles in County News as one future option for greater promotion of the Local Offer.

The Panel highlighted the need to continue to work to reduce service user frustration and resolve issues as effectively as possible. The Panel also highlighted the benefit of monitoring satisfaction in the service as an effective measure of overall performance.

The Scrutiny Panel also endorse the work the Intake Team delivers within schools to promote the opportunity for parents to discuss options and seek advice and guidance through the use of drop in sessions.

Recommendation 2 – Improved Health Outcomes

The Scrutiny Panel recommends that Lincolnshire County Council continues to strengthen positive relationships with CCGs, to develop a proactive approach and to support the implementation of the SEND action plan.

The Scrutiny Panel highlighted the following themes as part of this recommendation:

1. To improve the quality of Education, Health and Care Plans by promoting more outcome focused recommendations.
2. Establish systems of leadership that are effective in ensuring that all managers are held to account for improvements to services and for promoting effective practice.
3. Increase understanding of health data to better plan future services to meet children and young people's health needs.
4. Improve the health offer to include a clear pathway for Autism Spectrum Disorder and neurodevelopment conditions.
5. Developing and promoting an effective and more consistent level of good practice across the County through the SEND steering group.

During the review the Panel heard examples of the need for improved Health engagement in the transitions process. The Scrutiny Panel support the implementation of the SEND action plan to improve outcomes and better meet children and young people's health needs. The Panel was advised that continuing health care was patchy across Lincolnshire, with some areas being better than others. The Panel agreed that health was an issue due to an inconsistent approach; and that there needed to be improved communication with parents when their expectations had not been met. The Panel agreed that Health obligations were being met but not always in an effective way.

The Panel was satisfied that there were aspirations from Children's Services and local CCGs to ensure that colleagues strive to provide services that improve the education and health outcomes as outlined in the SEND Steering Group Action Plan. This includes developing clear lines of accountability that report to both the Local Authority and Clinical Commissioning Groups and establishing systems of leadership that are effective in ensuring that all managers are held to account for improvements to services.

Recommendation 3 – Pathway Plan Review

The Scrutiny Panel supports reviewing the format and structure of the current Pathway Plan document for Care Leavers. The Panel recognises that the current document meets the requirements of a Pathway Plan and contains everything required, but believes that the structure of the document needs to be reviewed in order to be more useful to better meet the needs of young people.

The Scrutiny Panel support the development of an improved Pathway Plan and consulting with the Corporate Parenting Panel on the revised format.

2. Introduction

Establishment of the Scrutiny Review Panel

On 29 March 2018, the County Council's Overview and Scrutiny Management Board approved a scrutiny review to give consideration to the individual experiences of those young people with more complex educational needs who receive support through an Education, Health and Care (EHC) plan, and their journey transitioning into adulthood.

The review also considered the preparations being made towards implementing the Children and Social Work Act 2017 and the impact on transition arrangements for those young people under the care of the local authority.

On 30 August 2018 the Overview and Scrutiny Management Board endorsed the terms of reference for the 'Transitions Scrutiny Review' as per Article 6.10 of the County Council's Constitution.

The Scrutiny Review Panel met seven times over the course of the review and undertook a number of visits to special schools and engaged with County Council staff as well as individual service users.

Scope of the review

The purpose of the review has been to consider best practice, areas for better working and to identify key findings and recommendations to aid continued improvement of these services in Lincolnshire.

1. To consider and review the experiences of those young people with more complex educational needs who receive support through an Education, Health and Care (EHC) plan and their journey transitioning into adulthood. Including the following:
 - To review the experience of young people and their families/carers, and the overarching principles for good transition
 - Ensuring that arrangements for transition services are robust.
 - To consider processes which are in place to ensure all young people who require transition services are identified and receive services.
 - The planning of transition, support before and after transfer and the supporting infrastructure for transitions.
2. To review the preparations being made towards the implementation of the Children and Social Work Act 2017, increasing the age of eligibility for support to care leavers from the age of 21 to 25.

3. Background

This review has focused on children and young people who receive support through an Education, Health and Care (EHC) plan, and the systems and processes in place to support the transition from Children's Services to Adulthood. The review has also given consideration to those young people who may also be eligible for Adult Social Care and /or specialist Adult Health Care services when they reach the age of 18.

The term 'Transition' is used to describe the process of change from one situation to another and occurs at various stages in a child or young person's life. The following stages are widely recognised as being key milestones for children and young people.

- Transition from nursery to primary school;
- Transition from primary to secondary school;
- Transition from secondary to post 16 education and training;
- Transition from children's services to adulthood;
- And for a relatively small number of young people Transition to Adult Care.

For the vast majority of children and young people, these transitions are supported successfully by families, schools and universal services.

Main Lines of Enquiry

As part of the review the Panel considered:

- Children and young people with EHC plans
- Children and young people transitioning to adult social care
- Transition for young people who are Looked After Children
- Education Phase Transitions

As of May 2018, it was reported there were 1027 children/young people aged 14-17 who were subject to an Education, Health and Care (EHC) plan; this was broken down as following:

- Age 14 – 106
- Age 15 – 354
- Age 16 – 340
- Age 17 - 227

As at May 2018 there were a total of 243 cases open to the Children with Disabilities Team, and of these, the total number of children and young people who were aged 14 – 17 years was 105. Whilst these young people are also captured in the general SEND data above (they all have EHC Plans) these are the young people with the most complex needs and are likely to require Adult Social Care provision.

Ensuring Young People needing Transitions are identified

Under the Special Educational Needs and Disability Code of Practice (2015) Local Authorities must ensure that the Education Health and Care (EHC) Plan review at Year 9, and every review thereafter, includes a focus on preparing for adulthood. Planning must be centred on the individual and explore the child or young person's aspirations and abilities, what they want to be able to do when they leave Post-16 education or training and the support they need to achieve their ambition. Transition planning must be built into EHC Plan reviews and should result in clear outcomes being agreed that are ambitious and stretching and which will prepare young people for adulthood. Operationally this is administered through the SEND team in Children's Services.

For a young person with an EHC Plan, the local authority ensures that the transition to Adulthood is well planned; any eligible transfer to adult social care is identified within the Annual Reviews of the EHC Plan and reflects existing special educational and health provision that is in place to help the young person prepare for adulthood.

Transition to adult social care

Young people with complex needs, who are approaching 18, or their carers, may become eligible for Local Authority Services, regardless of whether they have an EHC Plan or whether they have been receiving care services under Section 17 of the Children Act 1989. Under the Care Act 2014, Adult Services undertake an Adult Transition Needs assessment where the young person is open to children's social care and recognised as likely to have a need for care and support after turning 18. These Adult Transition Needs assessments normally happen for this cohort at 17 but

can happen earlier where there is a significant benefit to the young person in doing so. For those young people not open to children's social care, adults services have a referral pathway which can be accessed through the CSC. Young people under 18 referred through this route are given an Adult Transition Needs assessment as described above. Those 18 and above receive an Adult Needs assessment. The nature of these assessments is to determine eligibility for adult social care as defined in the Care Act (2014)

Adult Social Care will not be aware of all young people living in their area who may be eligible for Adult Social Care. It is therefore important that those people involved in preparing young people for Adulthood consider whether the young person may have eligible needs as an adult and therefore, as part of the transitions process, make a formal referral to Adult Social Care as described above.

The Intake Team in Adult Services are proactive in engaging with schools to increase their understanding of the processes and provide a contact point for queries.

The majority of young people who are eligible for Adult Social Care as part of their transition to Adulthood are known to the Children with Disabilities (CWD) Team prior to the referral to Adult Social Care.

There is highly effective partnership working between the Children's Services' CWD Team and the Adult Social Care Intake Team and this works very well. Notifications from the CWD Team via Mosaic (Passport to Adulthood request) are now coming through to the Intake Team at a steady and timely rate from the age of 14 years. These notifications are well documented containing the appropriate and factual information required to enable the Intake Team to begin to understand the needs of the young person. From this point onwards, transition planning is a collaborative process between children and adults services.

Adult Social Care begin an Adult Transition Needs Assessment for these young people by 17 years and 3 months and identify, where appropriate, care and/or support which commences at the point of transfer from Children's Services to Adult Social Care at 18 years old. For this cohort, Adult Social Care have a good understanding of the young people's needs and how best to support the family and young person at the point of transfer.

Where applicable, an allocated worker from Adult Social Care attends the Child and Family Progress Review or the EHC Plan Annual Review in the year leading up to the young person's 18th birthday. The Adult Social Care worker attends handover visits when the case closes to the CWD Team.

Adult Social Care encourages provision of services to eligible young people via a Direct Payment which generally works well to enable client choice and control. There are examples of good practice around Community Supported Living – individual tenancies and support in shared accommodation works very well for young people when available. Whilst housing is not a specific responsibility of Adult Social Care, Adult Social Care Commissioners and the Corporate Commercial Team have worked very effectively with housing authorities, housing providers and other key

stakeholders to develop and increase accommodation options available for young people.

In order to further support young people and families' understanding of the Adult Social Care assessment process a relevant pack of information has been produced and is made available for families at the initial assessment visit. It also contains helpful information about key changes, financial assessment etc. In general, families are usually happy with the outcome of the Adult Social Care assessment and subsequent plans.

Transition for young people who are Looked After children

The smooth and effective transition of young people from care to adulthood is a priority for Lincolnshire County Council. At the age of 16 Looked After Children start to transition to adulthood and work with their Social Worker to write their first Pathway Plan, preparing the young person to leave care whilst taking account of all their individual wishes and needs. The Pathway plan considers all areas of the young person's life and shapes how all professionals work with the young person to fulfil their desires and ensure they transition to adulthood in a safe and planned manner.

At the age of 17 years 6 months all Looked After Children are offered the support of a Personal Advisor from the Leaving Care Service. The Personal Advisor builds a relationship with the young person and supports the Social Worker to prepare the young person for adult life and consider what is on offer to them once they exit care. If a young person leaves care and meets the threshold for support from mental health service of adult care services, it is the duty of the Personal Advisor to maintain links with all the services and ensure they are well coordinated and, if necessary, act as an advocate for the young person.

At the age of 18 young people leave care and are offered a leaving care service until the age of 21. It is the responsibility of Lincolnshire County Council and all the partners in District Councils, the Health Community and Criminal Justice agencies to support care leavers, and to discharge their duty as Corporate Parents for all care leavers. It is essential partners work together to ensure young people's needs are met, and together we offer all the care and support we can as people transition into adulthood.

At the age of 21, unless they remain in full time education or training and continue to receive a full Leaving Care Service, most young people exit the leaving care service and move into the world as young adults, independent and settled in their communities. However, as always life can be challenging and care leavers may require additional support beyond the age of 21. As from 1st April 2018 all care leavers, up to the age of 25, can now return to the leaving care service at any time for information, advice and guidance to help them with any challenges they may face in adult life. Any young person who is eligible for a leaving care service can return at any time up to the age of 25 for support, advice and advocacy from the leaving care service.

Education Phase Transitions

In general, there is a lot of work being done to support young people to transition into Post 16 settings. The majority of these young people will not be eligible for Adult Social Care (and normally would not be referred to Adult Social Care) however the overall focus on the Preparing for Adulthood outcomes is improving and there is evidence of good person centred planning.

The 3 year Promoting Independence Project, formerly funded through the Better Care Fund, worked well and this has been a sustainable model whereby both the Special Schools and Further Education Colleges that were involved have continued the roles of Transition Co-ordinators.

Lincolnshire's Further Education (FE) Colleges support young people to ensure that they achieve the outcomes that support their successful transition to adulthood. In line with Special Educational Needs and Disability Code of Practice (2015) learners with an EHC Plan can remain in education until the age of 25. However, they should be accessing coherent study programmes which provide stretch and progression and are enabling them to progress to a higher level of study than prior attainment. Study programmes must include rigorous, substantial qualifications, English and maths, meaningful work experience and non-qualification activity. Learners should not repeat learning that has already been successfully completed. For students who are not taking qualifications, their study programme should focus on high quality work experience, and on non-qualification activity which prepares them well for employment, independent living, being healthy adults and participating in society.

Lincolnshire County Council's Young People's Learning Provision (YPLP) and the FE Colleges offer pathways to employment through Supported Internships. A Supported Internship is one type of study programme aimed at young people aged 16 to 24 who have an EHC Plan, who want to move into employment and need extra support to do so. They provide structured study programmes, based primarily with an employer, and are intended to enable young people to achieve sustainable, paid employment by equipping them with the skills they need for work through learning in the workplace. Students complete a personalised study programme which includes the chance to study for relevant substantial qualifications and English and maths to an appropriate level. In the last three years, 67% of learners undertaking Supported Internships through YPLP have gone into paid employment; 17% have gone on to voluntary work to build on their skills; 11% have returned to further their education and only 6% have become unemployed at the end of their study (3% left the area) and only 6% being unemployed at the end of their study period (3% left the area)

To build on the success of Supported Internships, additional funding secured through a successful internal council bid will be added to a grant provided by the Department for Education to develop Supported Internships in Lincolnshire Special Schools. This will strengthen the Special Schools' focus on preparing Post 16 learners for adulthood and independence.

Future Numbers

When considering capacity it was reported that Lincolnshire is seeing a rise in the number of young people with EHC Plans:

- 0 - 5 years 172 - an increase of 25% from 2017 (4% of all EHC Plans)
- 5 - 10 years 1448 - an increase of 20% from 2017 (31% of all EHC plans)
- 11 - 15 years 1581 - an increase of 4% from 2017 (35% of all EHC Plans)
- 16 - 19 years 1215 - an increase of 24% from 2017 (27% of all EHC Plans)
- 20 - 25 years 144 - an increase of 103% from 2017 (3% of all EHC Plans)

This rise is likely to have an impact on the number of young people transitioning to Adult Social Care in the coming years. Being able to identify which of these young people are most likely to require Adult Social Care is a key challenge.

The higher number of pupils with EHC Plans in the 11-15 year old group can be a result of a number of different factors. In some instances the pupils' needs have been managed well in primary school, where the pupil largely remains with one teacher and a Teaching Assistant throughout the day; the move to secondary school, into a very different environment where pupils are generally more independent, can mean that pupils with SEND now require a higher level of support, hence the EHC Plan. Additionally, changing levels of needs often coincide with the onset of puberty which appears to exacerbate some conditions. In secondary school the gap between pupils with additional needs and their peers can become more pronounced than it might previously have been in primary school and therefore can also highlight the need for a greater level of support through an EHC Plan.

Satisfaction / Complaints and Escalations

The Panel was advised that as a general indication there were 28,000 adults who received funded long term support services during the year ending 31 March 2018. It was highlighted that in 2017/18 there had been 220 complaints across Adult Care, which represented 0.79% of people receiving support. On average 49% of complaints were either upheld or partially upheld. It was further highlighted that only 4 of the complaints received related specifically to Young People in Education and open to the Adult Care Intake Team.

At the end of the EHC planning process parent carers are invited to provide feedback. This is generally positive but the level of return is not high. This is similar when the Council undertake other feedback such as in the Children with Disabilities Team; feedback is generally low. It seems that parents do not routinely feel the need to provide feedback when they are content with services; this is not uncommon.

The Panel highlighted the need to continue to work to reduce frustration and resolve issues before complaints were received. The Panel highlighted that measuring complaints was not necessarily the most appropriate indicator. The Panel highlighted that measuring satisfaction would be a better measure to monitor the quality of service.

It is worth noting that if a parent has concerns about a school then they must follow the school's complaints process. If there is an issue regarding how the provision in an EHC Plan is being delivered then the SEND Caseworker will work with the school to ensure that provision is being made in accordance with the EHC Plan. If the issue is regarding the conduct of staff in the school or specific school policy, and not related to the EHC Plan then this is for parents to resolve directly with the school.

Throughout the formal stages of an Education, Health and Care Needs Assessment, and subsequent reviews, parent carers are provided with the details of how they can appeal if they are dissatisfied with the outcome/EHC Plan. The LA is statutorily obliged to provide this information and it therefore appears at the end of all the correspondence related to the stages of the process.

Parents can request Disagreement Resolution which is designed to resolve disagreements about the performance of duties, SEN provision, disagreements over health and social care provision and disagreements between health commissioners and local authorities and are voluntary for both parties. Parents and carers are also able to request Mediation; this is a formally commissioned arrangement with two independent providers, Together Trust and Kids. This can be used to resolve issues specifically linked to decisions about EHC need assessments and plans. Parents are expected to consider this step before lodging an Appeal to the SEND Tribunal. They are not obliged to take part in mediation but have to consider it and seek a certificate to that effect. They are advised, in writing, on this process at each stage of the EHC Needs Assessment.

All of the information relating to Disagreement Resolution, Mediation and Appeal to the SEND Tribunal can also be found on the Local Offer.

4. Engagement during the review

The Scrutiny Panel engaged with professionals from Children's Services, Adult Care and undertook visits to New College Stamford, Bourne Willoughby School and Lincolnshire Wolds Federation St Bernard's School in Louth. Panel members also engaged with two service users who had recent and relevant experienced the transitions process.

The Scrutiny Panel wishes to record its appreciation for all those who met with members of the Panel as part of the review.

Louth St Bernard's visits on 25 September and 1 October 2018

Councillors S R Parkin and C Matthews visited Louth St Bernard's and reported that from their visit it had been evident that the management team had clear processes in place relating to transitions. Particular reference was made to the fact that the school had changed its arrangements for supporting pupils with an Education Health and Care Plan to prepare for transition. The School approached parents of children as young as 11, advising them of their options and responsibilities as their young person approached adulthood. It was highlighted that the early dialogue with parents had proven to be very helpful; and had provided parents with a better understanding

of requirements and processes. Visiting Panel members felt that the school should be commended for its approach in helping the transition process.

The Panel was advised that the school had good communication with the county council, however, one area it was felt could be improved was officers providing a softer approach when advising parents of the provisions available for their child, when parents had a clear vision of what provision their child should have.

One area of concern raised by the school was the lack of input from health relating to Therapy Health and Occupational Health. The School advised that they had preferred it when health services had been more locality based.

Bourne Willoughby School visits on 1 and 3 October 2018

The Panel was advised that the Bourne Willoughby School was an excellent school who dealt with some very complex needs. The school provided help to children and young people from the age of two to nineteen. The Head Teacher advised that there had not been any issues relating to transitions.

It was highlighted that there was a difference in how they supported transition to St Bernard's, as the school did not engage with parents as early in the process. It was highlighted that transition information was usually discussed with parents when the young person was 15 years old.

The Panel was also advised that the school had a good working relationship with the County Council.

Stamford New College visit on 18 October 2018

Consideration was given to a report from Councillors A G Hagues, R H Trollope-Bellew and R L Foulkes, following their recent visit to Stamford New College on 18 October 2018.

It was reported that the college had excellent facilities and had a well-developed programme to match the needs of incoming students. During a tour of the college, Panel member representatives were able to meet students and view the facilities on offer to help students with SEND develop their life skills.

Following the visit members of the Panel discussed supported internships plan and it was proposed that LCC engages in the Supported Internship Program. The Panel was advised that that the authority continued to work closely with the college with regard to Supported Internships. It was highlighted that New College Stamford's vision regarding Supported Internships was currently awaiting approval by their Senior Leadership Team.

It was also highlighted that since the introduction of SEND reforms in September 2014, substantial work had taken place to support Further Education (FE) providers in Lincolnshire to embed a focus on supported routes to employment for young people with learning difficulties; and that this had been supported through the three

year promoting Independence project, which had been funded through Better Care Funding. The Committee was advised that the project had been successful and that in 2018 all five FE providers had continued to deliver Supported Internships despite the additional funding coming to an end.

The Panel highlighted the importance of the Supported Internship Program

5. Contributors to the review

The Scrutiny Panel would like to extend their sincere thanks to the following people who have provided assistance during this review:

- Debbie Barnes OBE (Executive Director, Children's Services)
- Heather Sandy (Interim Director of Education)
- Justin Hackney (Assistant Director, Specialist Adult Services)
- Sheridan Dodsworth (Children's Services Manager - responsibility for SEND)
- Kate Capel (Children's SEND Locality Manager)
- Karen Dowman (Team Manager, Children with Disabilities)
- Joanna Tubb (County Manager Learning Disabilities)
- Andrew Morris (Corporate Parenting Manager)

- Stuart Munford-Gibbs (Intake Team)
- Georgina Kennedy (Intake Team)
- Kirsty Oliver-Dallas (Intake Team)

- Richard Hay (Children with Disabilities Team)
- Louise Henton (Children with Disabilities Team)
- Lizzi Wheelwright (Children with Disabilities Team)

- Katrina Cope (Senior Democratic Services Officer)
- Daniel Steel (Scrutiny Officer)

- New College Stamford
- Bourne Willoughby School
- Lincolnshire Wolds Federation St Bernard's School Louth

The Panel would also like to express sincere thanks to the service users who provided feedback as part of this review.

More Information

If you would like any more information about the work of Overview and Scrutiny at Lincolnshire County Council then please get in touch with the Scrutiny Team by calling 01522 552102 or by e-mailing the Team at scrutiny@lincolnshire.gov.uk