



# **Rutland County Council**

Catmose, Oakham, Rutland, LE15 6HP.

Telephone 01572 722577 Facsimile 01572 758307 DX28340 Oakham

**Meeting: CABINET**

**Date and Time: Tuesday, 16 October 2018 at 10.00 am**

**Venue: COUNCIL CHAMBER, CATMOSE**

**Corporate support** Natasha Taylor 01572 720991  
**Officer to contact:** email: [governance@rutland.gov.uk](mailto:governance@rutland.gov.uk)

Recording of Council Meetings: Any member of the public may film, audio-record, take photographs and use social media to report the proceedings of any meeting that is open to the public. A protocol on this facility is available at [www.rutland.gov.uk/my-council/have-your-say/](http://www.rutland.gov.uk/my-council/have-your-say/)

## **A G E N D A**

### **1) APOLOGIES FOR ABSENCE**

### **2) ANNOUNCEMENTS FROM THE CHAIRMAN AND/OR HEAD OF THE PAID SERVICE**

### **3) DECLARATIONS OF INTEREST**

In accordance with the Regulations, Members are required to declare any personal or prejudicial interests they may have and the nature of those interests in respect of items on this Agenda and/or indicate if Section 106 of the Local Government Finance Act 1992 applies to them.

### **4) RECORD OF DECISIONS**

To confirm the Record of Decisions made at the meeting of the Cabinet held on 18 September 2018.

### **5) ITEMS RAISED BY SCRUTINY**

To receive items raised by members of scrutiny which have been submitted to the Leader (copied to Chief Executive and Governance Officer) by 4.30 pm on Friday 12 October 2018.

## **REPORTS OF THE STRATEGIC DIRECTOR FOR PEOPLE**

### **6) LEICESTERSHIRE AND RUTLAND SAFEGUARDING ADULTS BOARD (LRSAB) ANNUAL REPORT 2017/18**

Report No. 183/2018  
(Pages 5 - 48)

### **7) LEICESTERSHIRE AND RUTLAND LOCAL SAFEGUARDING CHILDREN BOARD (LRLSCB) ANNUAL REPORT 2017/18**

Report No. 187/2018  
(Pages 49 - 96)

### **8) CHILDCARE SUFFICIENCY ASSESSMENT**

Report No. 185/2018  
(Pages 97 - 122)

### **9) PUPIL PREMIUM PLUS POLICY**

Report No. 184/2018  
(Pages 123 - 134)

## **REPORT OF THE STRATEGIC DIRECTOR FOR RESOURCES**

### **10) CORPORATE DEBT POLICY**

Report No. 145/2018  
(Pages 135 - 176)

## **REPORT OF THE STRATEGIC DIRECTOR FOR PLACES**

### **11) RUTLAND COUNTY MUSEUM & CATMOSE COTTAGE ROOF WORKS**

Report No. 181/2018  
(Pages 177 - 182)

## **REPORT OF THE CHIEF EXECUTIVE**

### **12) PROGRESS UPDATE ON ST GEORGE'S BARRACKS**

Report No. 188/2018  
(Pages 183 - 190)

### **13) ANY ITEMS OF URGENT BUSINESS**

To receive items of urgent business which have previously been notified to the person presiding.

---oOo---

**MEMBERS OF THE CABINET:** Mr O Hemsley Chairman  
Mr G Brown  
Mr R Foster  
Mr A Walters  
Mr D Wilby  
Mrs L Stephenson

**SCRUTINY COMMISSION:**

**Note: Scrutiny Members may attend Cabinet meetings but may only speak at the prior invitation of the person presiding at the meeting.**

**ALL CHIEF OFFICERS  
PUBLIC NOTICEBOARD AT CATMOSE  
GOVERNANCE TEAM**

This page is intentionally left blank



## CABINET

16 October 2018

### LEICESTERSHIRE AND RUTLAND SAFEGUARDING ADULTS BOARD (LRSAB) ANNUAL REPORT 2017/18

#### Report of the INDEPENDENT CHAIR OF THE LRSAB

Strategic Aim:	Creating a brighter future for all	
Key Decision: No	Forward Plan Reference: FP/170818	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr Alan Walters Portfolio Holder for Safeguarding – Adults, Public Health, Health Commissioning, Community Safety & Road Safety	
Contact Officer(s):	Robert Lake, Independent Chair of the LRSAB	Tel: 0116 305 7130 <a href="mailto:sbbo@leics.gov.uk">sbbo@leics.gov.uk</a>
	Dr Tim O'Neill, Director for People and Deputy Chief Executive	Tel: 01572 758307 <a href="mailto:toneill@rutland.gov.uk">toneill@rutland.gov.uk</a>
Ward Councillors	All	

#### DECISION RECOMMENDATIONS

That Cabinet:

1. Notes the draft Annual Report and makes any comments for amendment to be considered by the Independent Chair of the Safeguarding Adults Board.

## **1 PURPOSE OF THE REPORT**

- 1.1 The purpose of this report is to advise the Cabinet of the key findings of the Annual Report 2017/18 for the Leicestershire and Rutland Safeguarding Adults Board (LRSAB). Any comments or proposed additions and amendments will be addressed in the final report before it is presented to the LRSAB at its meeting on 25 October 2018 and subsequently published.

## **2 BACKGROUND AND MAIN CONSIDERATIONS**

- 2.1 The LRSAB is a statutory body established as a result of the Care Act 2014. The main purpose of the LRSAB is to ensure effective, co-ordinated multi-agency arrangements for the safeguarding of vulnerable adults. It is a requirement that the Board produce an Annual report regarding its work and report it to the Leader of the Council together with the Chief Executive of the local authority, the Chairman of the Health and Wellbeing Board, and the Police and Crime Commissioner, the Chief Constable and Healthwatch.
- 2.2 The Annual Report provides a full assessment of performance on the local approach to safeguarding adults in line with the requirements of the legislation and statutory guidance.
- 2.3 The key purpose of the Annual Report is to assess the impact of the work undertaken in 2017/18 on service quality and on safeguarding outcomes for adults with care and support needs in Leicestershire and Rutland. Specifically it evaluates performance against the priorities that were set out in the LRSAB Business Plan for 2017/18.
- 2.4 The draft Annual Report can be found at Appendix A to this report, and includes:
- (i) A foreword from the Independent Chair;
  - (ii) A summary of the work and findings of the Board during the year;
  - (iii) An overview of the Board's governance and accountability arrangements and local context;
  - (iv) Two separate outlines of safeguarding performance, activity and outcomes for Leicestershire and Rutland;
  - (v) Analysis of performance against the key priorities in the 2017/18 Business Plan;
  - (vi) An overview of the Board's work on engagement, assurance, learning and development and training;
  - (vii) The challenges ahead including the Business Development Plan Priorities for 2018/19.

## **3 KEY MESSAGES**

- 3.1 The key messages from the LRSAB for the specific attention of the County Council's Cabinet are:
- a) Workers and agencies work well together to safeguard adults in Rutland.
  - b) 'Making Safeguarding Personal' (MSP) is influencing practice across agencies and more people in Rutland have more say in the enquiries about their safeguarding.
  - c) Financial Abuse remains a prevalent area of abuse of adults in Rutland.

- d) Good and consistent understanding of and responses to Mental Capacity is a development need across the workforce.
- e) The Board will continue to challenge and drive improvement in safeguarding of adults, including developing its own approach to engagement and participation of adults with care and support needs.

## **4 CONSULTATION**

- 4.1 All members of the LRSAB and its Executive have had opportunities to contribute to and comment on drafts of the Annual Report.
- 4.2 The Annual Report is being presented to a range of forums including the Cabinets, Adults Scrutiny Panels or Committees and the Health and Well-Being Boards in both local authority areas.

## **5 ALTERNATIVE OPTIONS**

- 5.1 The Annual Report is a retrospective report. Any amendments to the reports put forward by the Cabinet will be considered by the Independent Chair of the SAB.

## **6 FINANCIAL IMPLICATIONS**

- 6.1 There are no resource implications arising from this report, as this is a retrospective report. The LRSAB operates within a budget to which partner agencies contribute.
- 6.2 Rutland County Council contributes £8,240 to the costs of the LRSAB (of a total budget of £100,878 in 2018/19).
- 6.3 Following anticipated funding reductions and agreement with Board partners the Board budget for 2018/19 no longer includes funding for Safeguarding Adults Reviews (or Serious Case Reviews for the LSCB). These are to be funded through the reserves of the Safeguarding Boards. The reserves are sufficient to cover current reviews underway. The Board has agreed that any additional costs would be covered proportionally by safeguarding partners.
- 6.4 The budget requirement for future years will be considered in the work to agree new multi-agency arrangements for safeguarding children and parallel consideration of safeguarding adults board support arrangements.

## **7 LEGAL AND GOVERNANCE CONSIDERATIONS (MANDATORY)**

- 7.1 The Safeguarding Adults Board is required by the Care Act 2014 to produce an annual report and to submit the Annual Report to the Leader of the Council. In addition the Cabinet has always been included in this reporting.
- 7.2 The Local Authority along with Leicestershire County Council holds the legal responsibility for the operation of the Safeguarding Board.

## **8 DATA PROTECTION IMPLICATIONS (MANDATORY)**

- 8.1 A Data Protection Impact Assessment (DPIA) has not been completed for the following reasons. The LSCB has an Information Sharing Agreements and operate in line with the Data Protection Act and General Data Protection

Requirements. All information is shared for safeguarding processes and appropriate controls are in place to ensure data security.

## **9 EQUALITY IMPACT ASSESSMENT (MANDATORY)**

- 9.1 The LRSAB seeks to ensure that a fair, effective and equitable service is discharged by the partnership to safeguard vulnerable adults. At the heart of the work is a focus on any individual or group that may be at greater risk of safeguarding vulnerability and the performance framework tests whether specific groups are at higher levels of risk. The Business Plan 2018/19 includes a priority on Engagement which will consider how the partnership will seek to engage with all parts of the community in the coming year.

## **10 COMMUNITY SAFETY IMPLICATIONS (MANDATORY)**

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

## **11 HEALTH AND WELLBEING IMPLICATIONS (MANDATORY)**

- 11.1 Safeguarding is everyone's responsibility. Health and care needs can be linked to safeguarding risk for adults, and health and care practitioners can have opportunities to identify and respond to safeguarding risk not available to workers in other agencies.
- 11.2 The Annual Report for 2017/18 incorporates performance and analysis regarding areas within priority health workstreams, including emotional health and well-being and mental health. The Annual Report has been presented to the Rutland Health and Wellbeing Board.

## **12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

- 12.1 The Safeguarding Adults Board has produced its Annual Report for 2017-18 assessing and analysing the activity and performance of the Board and partner agencies regarding safeguarding adults with care and support needs. This Annual Report is presented to Cabinet for their information and input.

## **13 BACKGROUND PAPERS**

- 13.1 There are no additional background papers to the report.

## **14 APPENDICES**

- 14.1 Appendix A – LRSAB Annual Report – 2017/18

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.



LEICESTERSHIRE AND RUTLAND  
SAFEGUARDING ADULTS BOARD  
(LRSAB)

# Annual Report

## 2017/18

### Document Status

---

**First draft completed:** 21/06/2018

**Approved by Executive:**

**Approved by Board:**

**Published:**

**Report Author:** Safeguarding Boards Business Office,  
Leicestershire & Rutland LSCB and SAB

**Independent Chair:** Robert Lake

## **Foreword**

I am pleased to present the 2017/18 Annual Report for the Leicestershire and Rutland Local Safeguarding Adult Board (LRSAB). This is the first occasion on which I am presenting this report. I became the Independent Chair of the Board in April 2018 taking over from Simon Westwood who had served the Board with distinction and skill. Clearly, the work of the Board, as reflected in this Annual Report, was undertaken under Simon's stewardship. On behalf of all of those involved in or receiving safeguarding services in Leicestershire and Rutland, a very big thank you to Simon for all his hard work.

The report is published at the same time as the Annual Report for the Safeguarding Children's Board (of which Simon is still the Independent Chair). The report includes commentary on areas of cross-cutting work we undertaken through a joint business plan between the two Boards.

The key purpose of the report is to assess the impact of the work we have undertaken in 2017/18 on safeguarding outcomes for vulnerable adults in Leicestershire and Rutland. The report concludes that:

- Workers and agencies work well together to safeguard adults in Leicestershire and Rutland.
- 'Making Safeguarding Personal' (MSP) is influencing practice across agencies and more people in Leicestershire and Rutland have more say in the enquiries about their safeguarding.
- Financial Abuse remains a prevalent area of abuse of adults in Leicestershire and Rutland and will be given continued attention.
- Good and consistent understanding of and responses to Mental Capacity is a development need across the workforce. (Research shows that this problem is experienced by several Boards across the country.)
- The Board will continue to challenge and drive improvement in safeguarding of adults, including developing its own approach to engagement and participation of adults with care and support needs.


The LRSAB is a strategic body: much of the detailed work of the Board is taken forward by our various sub-groups/task and finish groups. These are the real workhorses for safeguarding and I must take this opportunity on behalf of the Board to thank all members of these groups for their continued commitment as well as to thank their employing agencies for contributing their participation. I would also want to place on record my appreciation of the work done by the members of the Board's Business Office, without whom the Board would struggle to be as effective as it is.

We can never eliminate risk entirely. We need to be as confident as we can be that every vulnerable adult is supported to live in safety, free from abuse and neglect. As stated earlier, the Board is assured that, whilst there are areas for improvement,



agencies are working well together to safeguard adults in Leicestershire and Rutland and are committed to continuous improvement.

I trust that you will find this report informative and readable. If you have any comments you would wish to raise with me, I can be contacted via the SAB's Business Office [sbbo@leics.gov.uk](mailto:sbbo@leics.gov.uk).

A handwritten signature in black ink, appearing to read 'Robert Lake', is positioned above the printed name.

Robert Lake

Independent Chair of the Board.

## **Contents**

Foreword	2
Summary	5
Board Background	7
Safeguarding Adults in Leicestershire	9
Safeguarding Adults in Rutland	11
Safeguarding Adults in Leicestershire and Rutland	12
Business Plan 2017/18 Achievements	13
Operation of the Board	
• Partner and Public Engagement and Participation	17
• Challenge and Assurance	18
• Learning and Improvement	20
• Co-ordination and Procedures	23
• Training and Development	24
Income and Expenditure 2017/18	25
Business Plan Priorities 2018/19	26
Partner updates	27

## **Summary**

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

In reaching this conclusion, we have:

Challenged those who work directly with adults with care and support needs to listen to what they are saying, respond to them appropriately and Make Safeguarding Personal.

Monitored data and information on a regular basis. Learning from this includes, in both areas:

- Fewer safeguarding enquiries from the cause for concern alerts received by Local Authorities.
- An increase in the proportion of people being asked about what they want to happen in their safeguarding enquiries and whose desired outcomes are met in those enquiries
- Numbers of referrals for Deprivation of Liberty Safeguards continue to rise

Worked on and reviewed progress against our Business Development Plan for 2017/18;

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

- A Safeguarding Adults Audit Framework (SAAF) process;
- Case reviews of frontline practice regarding safeguarding and domestic abuse.

Carried out Safeguarding Adult Reviews (SAR), other reviews of cases and disseminated learning from these across the partnership.

Supported the ongoing use of and confidence in the Vulnerable Adults Risk Management (VARM) tool to support consistent responses to vulnerable adults who do not meet thresholds for access to safeguarding services, particularly in relation to self-neglect;

Sought assurance from partners regarding the work they have carried out over the year to safeguard adults with care and support needs;

More information on all of these areas can be found throughout the Annual Report

The nature of the Board is holding partners to account and promoting learning and improvement therefore the Board is always considering how it can further improve safeguarding practice. The key areas for further development include:

- Developing prevention approaches
- Supporting confident and consistent understanding of Mental Capacity
- Strengthening the participation of and engagement with adults with care and support needs and frontline practitioners in the work of the Board.

## **Key Messages**

- Workers and agencies work well together to safeguard adults in Leicestershire and Rutland.
- 'Making Safeguarding Personal' (MSP) is influencing practice across agencies and more people in Leicestershire and Rutland have more say in the enquiries about their safeguarding.
- Financial Abuse remains a prevalent area of abuse of adults in Leicestershire and Rutland.
- Good and consistent understanding of and responses to Mental Capacity is a development need across the workforce.
- The Board will continue to challenge and drive improvement in safeguarding of adults, including developing its own approach to engagement and participation of adults with care and support needs.

## **Board Background**

The Leicestershire & Rutland Safeguarding Adults Board (LRSAB) serves the counties of **Leicestershire** and **Rutland**. It became a statutory body on 1st April 2015 as result of the Care Act 2014.

## **Safeguarding Adults Board Arrangements**

The Care Act requires that the SAB must lead adult safeguarding arrangements across its locality and oversee and coordinate the effectiveness of the safeguarding work of its member and partner agencies. It requires the SAB to develop and actively promote a culture with its members, partners and the local community that recognises the values and principles contained in 'Making Safeguarding Personal'. It should also concern itself with a range of issues which can contribute to the well-being of its community and the prevention of abuse and neglect.

The Annual Report presented here sets out how effective the Board has been in delivering its objectives set out in its Business Plan. The report also includes an outline of the Safeguarding Adult Reviews (SARs) and other reviews carried out by the LRSAB, the learning gained from these reviews and the actions put in place to secure improvement.

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

During the year the decision was taken by the SAB to increase join up with the Leicester City SAB, including a joint chair for the 2 SABs. The practicalities of this and impact on the joint arrangements between Leicestershire & Rutland LSCB and SAB are being worked out in 2018/19 alongside work to set the new Multi-agency safeguarding arrangements for safeguarding children. From July 2018 the LRSAB will no longer meet alongside the Leicestershire and Rutland Local Safeguarding Children Board, as the SAB aligns its operation more closely with the Leicester City Safeguarding Adults Board (LCSAB).

The LRSAB works closely with LCSAB on many areas of work to ensure effective working across the two areas. The LRSAB and the LCSAB have established a joint executive that oversees joint areas of business for the two Boards.

The SAB is funded through contributions from its partner agencies. In addition to financial contributions, in-kind contributions from partner agencies are essential in allowing the Board to operate effectively. In-kind contributions include partner agencies chairing and participating in the work of the Board and its subgroups and Leicestershire County Council hosting the Safeguarding Boards Business Office. The income and expenditure of the Board is set out on Page 25 of this report.

## **Independent Chair**

The LRSAB is led by a single Independent Chair. The independence of the Chair of the SAB is a requirement of the Care Act 2014.

During 2017/18 Simon Westwood operated as the Independent Chair for both Safeguarding Adults and Children Boards in Leicestershire and Rutland. From 2018/19 Robert Lake has been appointed as a joint Independent Chair between the Leicestershire & Rutland and Leicester City Safeguarding Adults Boards as part of aligning safeguarding adults work across the two areas.

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

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

The structure of the LRSAB and membership of the Board can be found on the Board's website [www.lrsb.org.uk](http://www.lrsb.org.uk).

## **SAB Business Plan Priorities 2017/18**

Priorities set by the LRSAB for development and assurance in 2017/18 were to:

- Develop a clear approach for Prevention of harm to adults, including increasing the unacceptability of abuse across the community
- Further embed Making Safeguarding Personal (MSP) across the Partnership
- Ensure adult safeguarding thresholds are understood and being utilised correctly
- Develop a clear consistent response to self-neglect and safeguarding for front line workers

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

- To be assured that in situations where domestic abuse, substance misuse and mental health difficulties are all present (toxic trio) the impact is recognised and responded to using robust multi-agency risk assessment, information sharing and sign posting to resources
- Children and vulnerable adults have effective, direct input and participation in the work of the Boards
- The Board is assured that the emotional health and well-being of adults and children and safeguarding risk is understood
- To strengthen multi-agency risk management approaches

## **Safeguarding Adults in Leicestershire**

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

### **Adult Safeguarding snapshot for Leicestershire:**

**105,423** individuals (of any age) who report their day-to-day activities are limited and **130,084** adults aged 65 and over live in Leicestershire<sup>1</sup> (16% and 19% of the population respectively).

By 2037 the population aged over 85 is predicted to grow by **190%**, to 45,600 people, and the population aged 65 to 84 is predicted to grow by **56%**, from to 164,900 people. This compares to an overall population growth of 15%.

It is estimated that there are around **9,700** people aged 18-64 with learning disabilities in Leicestershire<sup>2</sup>. These numbers are predicted to stay fairly stable in Leicestershire over the next 12 years to 2030.



**4,530** safeguarding alerts to Adult Social Care.



**19%** of alerts became safeguarding (s42) enquiries.



**46%** of enquiries were substantiated, at least in part.

Financial abuse became one of the three most common categories of abuse alongside Neglect and Omission and Physical Abuse.



**768** alerts from the public.



**70%** of people were asked about what they wanted to happen from the safeguarding enquiry.



In **96%** of cases the persons desired outcomes were met, at least in part.

**97%** of people felt listened to in conversations and meetings with people about helping them feel safe



**13%** of enquiries were ceased at the request of the individual



**4,669** referrals for Deprivation of Liberty Safeguards (DoLS)



**1,555** cases on the waiting list for Deprivation of Liberty Safeguards



Paid Persons Representatives allocated to **49%** of DoLS.

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

<sup>1</sup> ONS mid-year population estimates 2014

<sup>2</sup> Figures from [www.pansi.org.uk](http://www.pansi.org.uk)

Fewer alerts met the threshold for a safeguarding enquiry to be undertaken than in the previous year, however more of the enquiries that were carried out found that abuse probably took place (were substantiated, at least in part) than last year.

Making Safeguarding Personal is becoming more embedded in safeguarding practice with a greater proportion of people being asked about what they wanted to happen from the enquiry regarding their welfare. A greater proportion of these people's desired outcomes were met this year than last year. More enquiries being ceased at the individuals request than last year suggests Making Safeguarding Personal is being implemented robustly, however the SAB case-file audit noted potential difficulties with this with regard to domestic abuse.

There was a continued increase in referrals for Deprivation of Liberty Safeguards (DoLS). Despite an increase in service capacity for assessments to be carried out overall there was an increase in the waiting list for DoLS in Leicestershire.

More people for whom there has been an application for Deprivation of Liberty Safeguards were allocated a Paid Persons Representative to advocate on their behalf in the assessment process than in previous years.

Leicestershire Adult Social Care has established a new Safeguarding Team to improve consistency in application of safeguarding thresholds and addressing initial areas of risk relating to safeguarding adults referrals. Initial indications are that, because this team can make additional enquiries than were possible in the customer service centre, this has meant that it is possible to gather additional information to enable more effective application of SA thresholds and MSP principles, and has resulted in less safeguarding enquiries requiring transfer to Locality Teams. Data on the direct impact of this is being sought by the Board.

Following ongoing positive joint work with Trading Standards around prevention of financial fraud and scams, Leicestershire are establishing an Adult Social Care post in the County Council Trading Standards team to further embed this effective work.



## **Safeguarding Adults in Rutland**

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

### **Adult Safeguarding snapshot for Rutland:**

**5,788** individuals (of any age) who report their day-to-day activities are limited and **8,830** adults aged 65 and over live in Rutland<sup>3</sup> (15% and 23% of the population respectively).

It is estimated that there are around **500** people aged 18-64 with learning disabilities in Rutland<sup>4</sup>. These numbers are predicted to drop by around 7% over the next 12 years to 2030.

- ▼ **235** safeguarding alerts to Adult Social Care.
- ▼ **22%** of alerts became safeguarding (s42) enquiries.
- ▲ **60%** of enquiries were substantiated, at least in part.  
'Neglect and Omission' has become more prevalent as the most common category of abuse, present in two thirds of cases.
- ▼ **39** alerts from the public.
- ▲ **96%** of people were asked about what they wanted to happen from the safeguarding enquiry.
- ▲ In **95%** of cases the persons desired outcomes were met, at least in part.
- ↔ **15%** of enquiries were ceased at the request of the individual
- ▲ **223** referrals for Deprivation of Liberty Safeguards (DoLS)
- ▼ **8** cases on the waiting list for Deprivation of Liberty Safeguards
- ▲ Paid Persons Representatives allocated to **49%** of DoLS.

The number of calls to Rutland Adult Social Care, from professionals and the public, regarding a safeguarding concern reduced compared to the previous year, this is an ongoing reduction in calls from professionals over the last two years.

Fewer alerts met the threshold for a safeguarding enquiry to be undertaken than in the previous year, however more of the enquiries that were carried out found that abuse probably took place (were substantiated, at least in part) than last year.

Making Safeguarding Personal is becoming more embedded in safeguarding practice with a greater proportion of people being asked about what they wanted to

---

<sup>3</sup> ONS mid-year population estimates 2014

<sup>4</sup> Figures from [www.pansi.org.uk](http://www.pansi.org.uk)

happen from the enquiry regarding their welfare. A greater proportion of these people's desired outcomes were met this year than last year.

There was a continued increase in referrals for Deprivation of Liberty Safeguards (DoLS), however an increase in service capacity for assessments to be carried out supported a reduction in the waiting list for DoLS in Rutland.

More people for whom there has been an application for Deprivation of Liberty Safeguards were allocated a Paid Persons Representative to advocate on their behalf in the assessment process than in previous years.

Rutland has carried out some positive joint work with the LADO to improve the quality of a children's residential school which also accommodated over 18s.

In response a number of safeguarding adult enquiries regarding financial abuse Rutland County Council has initiated monthly meetings with Community Care Finance and Revenues and Benefits department to raise awareness and support early identification and prevention.

Rutland County Council have expanded their Prevention and Safeguarding team to provide a social worker and an Assistant Care Manager to provide a rapid response around cases where self-neglect and safeguarding are indicated

### **Safeguarding Adults across Leicestershire and Rutland**

Following challenge the Board asked for an assessment of notification of Section 42 enquiries in healthcare settings to the local authorities. Health agencies reviewed cases and referrals and assurance was provided to the Board that notifications were generally, being made where appropriate, but some process issues existed. This resulted in a revision of guidance and the set-up of regular meetings between health in-patient settings and Adult Social Care.

The Police, Leicestershire County Council and Leicester City Council are working together to establish an Social Care post in the planned Multi-Agency Risk Assessment Conference (MARAC) hub, to help ensure that there is an effective and multi-agency approach to manage high risk domestic abuse cases on a daily basis and therefore early identifications of which cases also meet safeguarding thresholds.

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

## **Business Development Plan Priorities**

Progress on the Boards priorities is outlined below.

### **SAB Priority 1 – Develop a clear approach for Prevention of harm to adults, including increasing the unacceptability of abuse across the community**

**We planned to** consider what prevention strategies and practice were in place relating to Safeguarding and develop a Prevention approach to support effective safeguarding (e.g. community awareness and resilience).

**We brought together** a group of key frontline professionals across Leicestershire and Rutland who identified and assessed current approaches to safeguarding prevention, areas of good practice and areas for further development.

The scoping work identified a broad multi-agency desire to support prevention, but a lack of knowledge of tools and services already in place.

**We started to pilot an approach to** effective multiagency Prevention work in local areas through an existing multi-agency group, Rutland Joint Action Group linked to the Safer Rutland Partnership.

**We plan to** implement and assess the development of the JAG as a forum for prevention and develop further community awareness raising regarding safeguarding adults.

### **SAB Priority 2 – Further embed Making Safeguarding Personal (MSP) across the Partnership**

**We planned to** embed principles of MSP across multi-agency safeguarding practice through awareness-raising, training and service development. We also planned to assess use of MSP in safeguarding and the impact of MSP through audits and performance information.

**We assessed** use of MSP in the multi-agency audits and monitored local authority data on MSP in our Safeguarding Effectiveness Group.

The audit showed that MSP was being used in practice. MSP data for local authorities regarding whether people are asked about the outcomes they would like from enquiries and whether those outcomes are achieved was higher than last year, but has shown a levelling off in performance after a steady increase in the previous year.

In Leicestershire the Local Authority is looking at how MSP approaches tie in with Signs of Safety in Children's Safeguarding

**We plan to** understand partner agencies work on MSP in future years through the Safeguarding Adults Audit Framework (SAAF).

### **SAB Priority 3 – Ensure adult safeguarding thresholds are understood and being utilised correctly**

**We planned to** monitor compliance against local guidance on Section 42 enquiries and monitor partner data to understand the effect of Leicestershire Adult Social Care pathway restructure and identify other areas requiring further development. **We also planned to** assess understanding and use of thresholds through our multi-agency audits.

**We finalised** guidance for the Oversight Process of S42 Enquiries in NHS Settings was finalised and put into practice.

The Clinical Commissioning Groups, Leicestershire Partnership NHS Trust and University Hospitals of Leicester NHS Trust carried out a review of practice regarding Section 42 safeguarding enquiry notification in specific settings that identified improvements in processes to be applied.

**We monitored** adult safeguarding alerts to the local authorities from different sources, including health settings through our Safeguarding Effectiveness Group.

The multi-agency audit focussed on domestic abuse considered application of thresholds and found that in almost all of the eighteen cases thresholds were applied appropriately.

### **SAB Priority 4 – Develop a clear consistent response to self-neglect and safeguarding for front line workers**

**We planned to** develop a clear process across Leicester, Leicestershire and Rutland to support decision making in self-neglect cases, and a quality assurance and performance management framework to test the impact of this.

**We developed** Vulnerable Adults Risk Management (VARM) guidance across Leicester, Leicestershire and Rutland to provide more consistent approaches to working with people in situations of risk, where they are not engaging with agencies and in particular for working with people at high risk in relation to self-neglect.

Leicestershire County Council and Rutland County Council incorporated training on the VARM process within their safeguarding training.

**We ran** four half day multi-agency events at the King Power Stadium to raise awareness about the Vulnerable Adults Risk Management (VARM) process for frontline staff across agencies, including housing, Fire and Rescue, Police, Drug and Alcohol and Domestic Abuse services, Community Safety, General Practitioners (GPs) and other health staff.

228 practitioners attended the training events from over twenty different agencies with many positive comments. Confidence levels in understanding and using the VARM process increased with 98% of attendees at least fairly confident in using the VARM following training and the VARM guidance was revised based upon practitioner feedback from the event.

Twenty-nine high level self-neglect cases were referred to the VARM process in Leicestershire.

**We plan to** audit use of the VARM across a broad range of agencies in 2018 and agencies other than Adult Social Care will consider how their VARM activity will be reported to the

Board and how awareness raising around the VARM processes continues to be embedded on a multi-agency basis

Progress on the four priorities shared with the LRLSCB:

**LSCB / SAB Priority 1 – To be assured that in situations where domestic abuse, substance misuse and mental health difficulties are all present the impact is recognised and responded to using robust multi-agency risk assessment, information sharing and sign posting to resources**

**We planned to** develop a coherent, co-ordinated framework that delivers effective safeguarding responses where these three factors are present across families.

**We researched** the issues facing adult and children safeguarding and individual agencies with regard to this 'trilogy of risk'.

**We developed** a package of customisable materials for agencies to use within their own organisations to communicate key messages and improve practice.

**We plan to** launch the materials in July 2018 and will assess the dissemination of the materials and the impact of this work through a quality assurance plan developed alongside the materials.

**LSCB / SAB Priority 2: Children and Vulnerable Adults have effective, direct input and participation in the work of the Boards**

**We planned to** research models of participation for children and vulnerable adults and develop an effective model for engagement of adults with care and support needs.

**We researched** models of engagement in place in other areas with regard to safeguarding adults. Further work is required to develop engagement with adults for the SAB.

**We plan to** develop engagement with adults for the SAB as part of the Safeguarding Adults Board Engagement priority for 2018/19, in conjunction with work underway with Leicester City Safeguarding Adults Board.

**LSCB / SAB Priority 3: The Board is assured that the emotional health and well-being of adults and children and safeguarding risk is understood.**

**We planned to** produce practice guidance and implement appropriate training and development activities to develop common understanding of emotional health and safeguarding risk across all agencies and ensure emotional health and safeguarding risk with regard to the broader family context is considered in safeguarding work with children and adults.

**We also planned to** review the Safeguarding Risk Assessment of the local Sustainability & Transformation plan for health.

**We explored** the gap in understanding and needs across the workforce with regard to emotional health and wellbeing and safeguarding. The breadth of scope for this piece of work meant that this work took longer than anticipated.

As a result of the assessment work, understanding emotional health needs of parents and carers was identified as the key area for work.

Further work will be taken forward by Future in Mind and Better Care Together within the Sustainable Transformation plan (STP).

Leicestershire Partnership Trust are developing their 'Whole family' approach which will support this.

#### **LSCB / SAB Priority 4: To strengthen multi-agency risk management approaches**

**We planned to** develop a structured multi-agency framework to enable a reflective supervision session to be used in cases where the issues are complex or entrenched.

**We created** an initial process following research into existing models locally and nationally and collating ideas and views of staff and tested the process.

**We plan to** test the process and adopt it by September 2018.

The impact of the process will be tested by reviewing outcomes for cases where the process has been used.

## **Operation of the Board**

### **Partner and Public Engagement and Participation**

#### **Partner Engagement and Attendance**

The Board met four times during 2017/18. The membership of the Board can be found on the Boards website [www.lrsb.org.uk](http://www.lrsb.org.uk). Almost all partners attended all or the majority of Board meetings during the year and sent apologies for those they missed.

Engagement with the Criminal Justice Sector requires improvement. Whilst the Community Rehabilitation Company attended one meeting and sent apologies to all others, there was no attendance from the Prison Service or the National Probation Service to any SAB Board meetings during the year.

Due to a change in personnel the representative from the private care sector only attended the SAB development day considering priorities for 2018/19.

All agencies consistently engage well in the subgroups of the Board.

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

#### **Public Engagement & Participation**

Despite the shared priority on engagement and participation for the SAB with the Safeguarding Children Board work on this for the SAB did not progress as planned during the year and further work is required on this.

The Board's Business office carried out some public engagement and awareness in Loughborough town centre in conjunction with Charnwood Community Safety Partnership (CSP). The team shared a market stall with the CSP, provided information leaflets and carried out a survey to assess understanding of and raise awareness of safeguarding adults issues.

Thirty-one surveys were completed, over half by people aged 65 years or over.

Over half of those surveyed said they knew someone who had been affected by abuse and the surveys identified some knowledge of adult abuse and how to respond to this.

The issues that concerned people the most were Anti-Social Behaviour and Financial Abuse. Board office staff members were able to advise a number of people where to seek advice and follow up on specific concerns.

Four people said that they, or someone they knew had experience of contacting services in relation to abuse or neglect, but feedback on the quality of response was varied. Two women praised the Police, Social Services and Women's Aid with regard to their response to Domestic Abuse, however they had had to wait a long time for counselling and access to group work

More events like this are planned.

Towards the end of the year the SAB linked in with engagement work being undertaken by the Leicester City SAB, and has identified this as a standalone priority for 2018/19 that will cut across all of the work of the Board.

## Assurance – Challenges and Quality Assurance

### **Challenge Log**

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

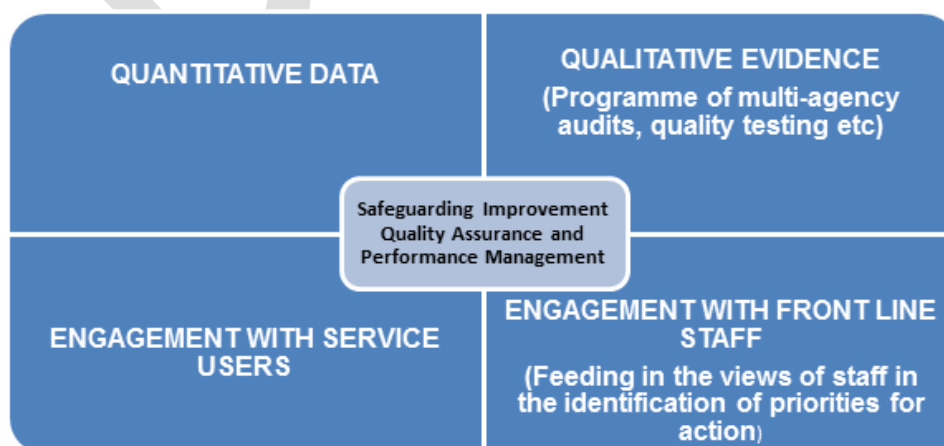
- Leicestershire County Council reported that they could not give assurance regarding their oversight of S42 safeguarding enquiries carried out by health providers, as they felt the numbers they were getting through were lower than expected and the council did not have evidence that everything that should be referred is being referred.

Following this challenge:

- A review of settings took place and assurance gained from all that their reporting procedures were being followed correctly.
- Thresholds and guidance regarding Section 42 enquiries were revised.
- Documents and processes in Health organisations were changed to support reporting
- A bi-annual review meeting for the Oversight Process has been set up.

### **Quality Assurance and Performance Management Framework**

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





## Audits

During 2017-18 the SAB, along with Leicester City SAB carried out a Safeguarding Adults Audit Framework (SAAF) audit that tests agencies compliance against their safeguarding duties within Care Act 2014 through an organisational assessment against safeguarding standards.

Audit returns from the seven agencies that work in Leicestershire or Rutland identify that most agencies consider that they are 'effective' or 'excelling' across the majority of the compliance questions that are relevant to them.

- Clinical Commissioning Groups are working towards effectiveness with regard to managing increasing demand for DoLS and embedding the Mental Capacity Act in safeguarding.
- Leicester Partnerships NHS Trust (LPT) are working towards effectiveness regarding Mental Capacity Act within safeguarding and processes and regarding restrictions and restraint under this Act.
- Leicestershire County Council are excelling in embedding Making Safeguarding Personal, alignment with multi-agency procedures and safeguarding adults leads advising and supporting commissioning.

The Fire & Rescue Service and Public Health did not submit a response this year.

Commentary on audit returns from agencies identifies that a good level of testing is taken out in completing the audit. There is currently no direct challenge element to self-reporting of progress. The SAB process for SAAF compliance assurance will be reviewed in 2018/19 to consider how the process can be streamlined and more peer review and challenge of compliance findings can be introduced.

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

- Domestic Abuse
- Strategy Meetings

Due to bad weather the final multi-agency discussion and analysis part of the Strategy Meetings audit did not take place by the end of the year, and had to be rescheduled later in Spring 2018. The audit was completed, and action put in place in response to the findings. This will be reported in the next annual report.

The audit process involves individual agencies auditing a sample of their own case files using a common tool, and bringing audits and learning to a multi-agency meeting to be reviewed across partners. The cases are selected at random by the individual agencies. An independently selected random case sample will be considered by the SAB in future.

The Domestic abuse audit of 18 cases found that:

- Overall there was good recognition on a multi-agency basis of when domestic abuse concerns are also safeguarding issues and good knowledge of domestic abuse processes and specialist support services.

- In all cases where risk was identified it was felt that this was reduced, although there were cases where the adult at risk then chose to re-establish contact with the perpetrator and further safeguarding enquiries/measures were then required.
- Due to the fact that adults at risk within safeguarding enquiries will have needs for care and support, perpetrators of domestic abuse may also be carers. This is clearly a complex situation as the adult at risk will often feel reliant on their carer and be fearful of losing the support they provide.
- Perpetrators of domestic abuse may also be family members, and the adult at risk may feel responsibility towards them, particularly where they are a parent of the perpetrator. This can be difficult as with two cases within the audit where the adult child had no alternative accommodation and the parent felt they are unable to ask them to leave their property.
- In the above situations and due to the care and support needs of adults at risk within safeguarding enquiries relating to domestic abuse, it can be difficult for the worker to speak to the adult at risk alone, and also be clear about the concerns, as the perpetrator will often also be present in the home, and it may not be easy for the adult at risk to leave the property to meet elsewhere, for example where the person may have dementia or there are mobility needs. There were positive examples of practice identified within the audit where creative approaches were used such as meeting at a GP surgery.
- In at least one case there was evidence of the 'Trilogy of Risk'-domestic abuse, mental health issues and substance misuse being present. Whilst there were no concerns about risks to children identified within the audit that had not been responded to, adult workers require ongoing support to recognise the additional risks that the presence of the Trilogy of Risk poses to children and other vulnerable people.
- In some cases the adult at risk within a safeguarding enquiry relating to domestic abuse will not want any further action to be taken, and as with all enquiries this requires careful consideration by agencies involved about whether it is appropriate to cease the enquiry taking into account Making Safeguarding Personal (MSP) principles but also the risk within the situation.

Agencies have taken away these learning points to embed this within their practice. An audit regarding the Vulnerable Adults Risk Management (VARM) tool is planned for 2018/19.

### Learning and Improvement

#### **Safeguarding Adults Reviews and other Learning Reviews**

The SAB Safeguarding Case Review Subgroup (SCR Subgroup) receives information from agencies about serious incidents of abuse and considers if a Safeguarding Adult Review (SAR) or alternative review process is required to ensure multi-agency learning is captured and implemented.

Making Safeguarding Personal is an element of all reviews through a standard question set within terms of reference for reviews.

In 2017/18 the SCR Subgroup received two referrals for consideration and the table overleaf outlines their progress as of April 2018:

Gender	Age	Harm Factors	Type of Review	Progress
Female	20	Mental Ill-health - Suicide	SAR	Author appointed and Panel process underway
Female	69	Elderly couple query attempted and assisted suicide – both survived	Potential SAR	Did not meet the criteria. SCR Subgroup assured that safeguards were put in place

The Subgroup also continued work on four cases referred in 2016/17:

Gender	Age	Harm Factors	Type of Review	Progress
Male	90	Neglect in Care - Died	Potential SAR	Awaiting Crown Prosecution Service decision
Female	34	Substance Misuse – Died following an assault	SAR	1 <sup>st</sup> Draft out for consultation
Female	54	Chronic Self-Neglect - Died	SAR	Review completed
Female	66	Domestic Abuse Mental Ill Health, Alcohol – serious injury	SAR	Final Report out for consultation

### Learning from reviews

Learning from the reviews that commenced in 2016/17 contributed to the six learning themes reported in last year's annual report as follows:

**Theme 1 – ‘Better Conversations’:** Staff in all agencies to be reminded of the importance of ‘Better conversations’ at the point of referral so they result a shared understanding of what the concerns, desired outcome for service user and next steps are.

**Theme 2 – ‘Service users reluctant to engage’:** This can be a very complex and challenging area for staff to deal with. Staff should consider creative and partnership solutions to development engagement.

**Theme 3 – ‘Understanding Domestic Abuse and Older People’:** Staff to be reminded that in assessing Domestic Abuse situations they have a good understanding of aspects and impact of domestic abuse and consider specific vulnerabilities and relationship dynamics for individuals.

**Theme 4 – ‘Understanding Mental Capacity’:** Staff should have knowledge of the Mental Capacity Act relevant to their role; however, in practice, staff are supporting decision making all the time, so need to assume capacity unless there are indicators to the contrary for that individual and be clear who is accessing capacity, and what is the impact of Mental ill-health on daily living.

**Theme 5 – ‘The impact of Alcohol misuse’:** Supporting people who misuse drugs and alcohol can be challenging, complex and unpredictable. The issues are closely linked to **Themes 1, 2 and 4**. Staff should additionally consider resources and expert advice available and how they may be accessed.

**Theme 6 – Self-Neglect:** Staff need to be able to recognise Self-Neglect and be familiar with how to respond

The importance of use of the Threshold Guidance for Adult Safeguarding was highlighted through these themes.

### **Domestic Homicide Reviews**

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

One DHR was completed during the year. Two further potential DHRs were considered, one is being taken forward as a DHR locally and the other is being reviewed in another geographical area.

### **Development Work and Disseminating Learning**

The SAB produces a quarterly newsletter in conjunction with the Local Safeguarding Children Board, called Safeguarding Matters. This is used to disseminate key messages including from reviews and audits across the partnership and to front-line practitioners.

The September 2017 Edition of Safeguarding Matters was a ‘Learning from Reviews’ Special. This edition was relevant to all staff whether the workers focus is on adults or children, front line or practice supervisor/manager

Learning has also been shared through the Trainers Network and single agency internal and single agency internal processes, including to GPs via the Primary Care Safeguarding Children Quality Markers (SCQM) tool.

The Board carried out a review of Safeguarding Matters and the Board website with practitioners across partners. Feedback included that Safeguarding Matters was a useful tool for keeping up to date with safeguarding learning, and also for disseminating safeguarding information across teams. Some areas for improvement were identified regarding design and highlighting items of interest for specific audiences.

The Boards website was felt to be easy to access and find relevant information on, but not so easy to find out what had been updated. Some areas for improvement were identified with regard to colours used and adding Board papers to the site.

### **Learning Disability Mortality Review (LeDeR) Programme**

The Learning Disabilities Mortality Review (LeDeR) programme was established to support local areas to review the deaths of people with learning disabilities, identify learning from those deaths, and take forward the learning into service improvement

initiatives. The programme is led by the University of Bristol, and commissioned by the Healthcare Quality Improvement Partnership (HQIP) on behalf of NHS England.

Locally the programme reports into the Joint Executive of the Leicestershire & Rutland and Leicester City Safeguarding Adults Boards. After initial work to commence the programme in 2016-2017 the programme went fully live in Leicester, Leicestershire and Rutland (LLR) on 1 October 2017.

The programme received 42 referrals between 1 October 2017 and 17 July 2018 across Leicester, Leicestershire & Rutland, three reviews have been completed.

Indicative findings from these referrals and reviews include:

- Average age of death for those with Learning Disabilities is lower than the life expectancy for the general population.
- Twice as many deaths of people with learning disabilities occur in hospital than in the community
- The most prevalent causes of death are respiratory related conditions.

The priorities for the programme locally are to:

- Recruit further LeDeR reviewers
- Continue to raise awareness of the programme with stakeholders
- Begin to formulate Action Plans based upon the findings of completed LeDeR reviews
- Integrate LeDeR into LLR's programme of work to improve services for people with learning disabilities (through mechanisms such as the Learning Disabilities Partnership Boards & local/regional strategies)

#### Co-ordination of and Procedures for Safeguarding Adults

In response to learning from the reviews and audits of practice, alongside research findings and review findings nationally, the Board has developed and updated local safeguarding procedures as follows:

- Completion and sign-off of the revised Safeguarding Adults Information Sharing Agreement (ISA)
- Developed procedures regarding Modern Slavery
- Developed an Advocates policy
- Strengthened reference to mental capacity and best interests processes in the section regarding Self-Neglect
- Updated information for practitioners on Preventing Violent Extremism
- More information to support practitioners to recognise and respond to ill treatment and wilful neglect
- Updated the Escalation and Professional Disagreement Process
- Reviewed guidance on Thresholds and Section 42 enquiries in health care settings
- Revised guidance on the VARM
- Updated guidance for Managing allegations re persons in positions of trust

Future Work planned includes:

- Review of the structure of procedures to streamline them and support practitioners to utilise them more easily.

### Training and Development

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

The SAB, through its Safeguarding Effectiveness Group regularly requests information from its partners regarding the effectiveness of their safeguarding training programmes. All partners have provided information to assure the Board that staff are appropriately trained.

The Board does not have general resource to support Multi-Agency Safeguarding Adults training. Some multi-agency training is provided through individual agencies training programs, such as Leicestershire County Council.

Leicestershire's training has included eighteen days of a new 'Safeguarding Adults in Practice' core day, to approximately 400 front line staff and supporting bolt on workshop modules, including Domestic Abuse and Coercive Control.

The Board ran four half-day VARM training courses in conjunction with the Leicester City SAB to increase awareness and effective use of the VARM to support prevention of safeguarding need.

The Board supports a Safeguarding Adults Trainers Network has met four times with regular attendance of forty staff from the Independent, Statutory and Voluntary Sector who have a responsibility for developing and delivering learning and development opportunities.

The Network continues to give participants the opportunity to discuss and develop their organisations approach in light of: National and local developments in practice and procedures; Learning from reviews (national and local); Embedding the Competency Framework and updates to training materials and resources.

The Network also supports dissemination of information and awareness raising materials such as Safeguarding Matters, Leaflets and training events.

Feedback from the group has been sought on levels of understanding of MSP and ease of access to the procedures and this feedback has influenced further developments to procedures.

## **Leicestershire & Rutland SAB and LSCB Finance 2017-18**

	£
<b>SAB Contributions</b>	
Leicestershire County Council	52,798
Rutland County Council	8,240
Leicestershire Police	7,970
Clinical Commissioning Groups (West Leicestershire and East Leicestershire & Rutland)	18,386
University Hospitals of Leicestershire NHS Trust	7,970
Leicestershire Partnership NHS Trust	7,970
<b>Total SAB Income</b>	<b>£103,334</b>
<b>LSCB Contributions</b>	
Leicestershire County Council	84,003
Rutland County Council	52,250
Leicestershire Police	43,940
Clinical Commissioning Groups (West Leicestershire and East Leicestershire & Rutland)	55,760
Cafcass	1,100
National Probation Service	1,348
Derbyshire, Leicestershire, Northamptonshire and Rutland Community Rehabilitation Company (Reducing Re-offending Partnerships)	3,000
<b>Total LSCB Income</b>	<b>£241,401</b>
<b>Total Income (LSCB &amp; SAB)</b>	<b>£344,735</b>
	£
<b>SAB and LSCB Operating Expenditure</b>	
Staffing	214,966
Independent Chaining	22,500
Support Services	30,500
Operating Costs	13,500
Case Reviews	16,290
Training Co-ordination and Provision (LSCB)	55,641
<b>Total SAB &amp; LSCB Operating Expenditure</b>	<b>£353,397</b>
<b>Deficit</b>	<b>£8,662</b>
<b>LSCB &amp; SAB Reserve account at end of year</b>	<b>£51,268</b>

### **Business Plan Priorities 2018-19**

Review and analysis of learning, performance information and emerging issues have led us to identify the following priorities for 2018-19:

<b>Development Priority</b>	<b>Summary</b>
1. Prevention	Prevention of Safeguarding need through building resilience and self-awareness in adults with care and support needs
2. Mental Capacity	Improve the understanding of capacity to consent and the application of the Mental Capacity Act across agencies
3. Thresholds	Promote a better and more consistent understanding and use of adult safeguarding thresholds
4. Engagement	Ensuring the work of the Safeguarding Adults Board is informed by adults with care and support needs

For 2018-19 there are no priorities shared with the Leicestershire & Rutland Local Safeguarding Children Board.

Action plans are in place for each of these priorities.



## **Partner Updates**



**West Leicestershire**  
Clinical Commissioning Group



**East Leicestershire and Rutland**  
Clinical Commissioning Group

Leicestershire and Rutland and West Leicestershire Clinical Commissioning Groups (CCGs) are committed to the promotion of safeguarding adults, supporting the work of the safeguarding board and to support staff and partners to undertake their safeguarding responsibilities.

In 2017/18 the CCGs demonstrated their support to the promotion of the adult safeguarding agenda by increasing the Adult Safeguarding and Mental Capacity Act component of a Designated Nurse role with a view to ensuring the voice of the Adult at risk is more equitably represented in its work.

We have strengthened internal and external processes to support care homes where care may have fallen below the expected standard.

In an attempt to increase the knowledge of adult safeguarding within our future workforce, safeguarding adults training is provided to pre-registration nursing students - this includes raising awareness of board procedures and elements of board work.

We have worked with GP practices to improve safeguarding adult understanding and provide support to GPs, CCG and external staff with regard to management of complex cases.

Relevant policies have been reviewed and amended. Systems to ensure adult safeguarding is integral to our procurement processes have been enhanced and safeguarding adults is also a prominent feature in our processes for seeking assurance regarding quality of care from providers of commissioned services.

In addition to the production of the Domestic Violence and Abuse Policy that has been disseminated to all GP Practices across Leicestershire and Rutland, UAVA have been commissioned by the CCGs to deliver Managing Disclosures of Domestic Abuse briefings to all GP Safeguarding Leads. UAVA have also provided Train the Trainer sessions to all members of the CCG Safeguarding Team to enable the team to continue to deliver the Domestic Abuse briefing sessions to GP's once UAVA have delivered their CCG 6 commissioned sessions.

The CCGs undertake work on an ongoing basis to promote the work of the LRSAB. The Safeguarding Team led the arrangements for the Safeguarding Health Network- a quarterly meeting of safeguarding leads from all of the CCG commissioned services. During Q3 and Q4 two meetings have taken place: discussions included the pending changes in DoLS legislation and the delivery of the NHSE highlight report for adults safeguarding.

Leicestershire & Rutland Safeguarding Children Board / Safeguarding Adults Board information has been cascaded to the Safeguarding Health Network that includes NHS and Non NHS Providers.

Messages from Adult Serious Case Reviews and Domestic Homicide Reviews have been cascaded to GP's via the Primary Care Safeguarding Children Quality Markers Tool (SCQM).

The CCGs' commitment to safeguarding and working in partnership will continue into 2018/19.



There is currently work ongoing with Trading Standards within LCC after some initial scoping identified that around 40% of the people Trading Standards are alerted to be the national Scam Hub are known to Adult Social Care (ASC).

Following initial pilot activity in 2017 the Adults and Communities Department has agreed to fund two workers to provide awareness-raising of scams and rogue traders to vulnerable people and organisations who support them. Trading Standards workers will also provide support to victims and social care workers through co-working. ASC are working closely with Trading Standards and have delivered joint training to front line staff and managers.

We have been involved in a review of the MARAC process with the Police and agreed to host a Social Care post within the planned MARAC Hub to provide advice guidance and support at initial referral stage. The post will help ensure that there is an effective and multi-agency approach to manage high risk domestic abuse cases on a daily basis and therefore early identifications of which cases also meet safeguarding thresholds. The recruitment process is underway for this post.

This year has seen a major refresh of our internal training programme with Core Modules and e-learning now available to all staff. This has led to a 93% take up of the new offer. Safeguarding audits and views of staff and managers were used in shaping the new training offer. The core training day uses real and live anonymised case studies in order to accurately reflect the work and challenges workers can face within their practice. Active participation and discussion is encouraged throughout the training sessions. All practitioners are asked for confidence scores before and after the training day and this has evidenced a consistent improvement in confidence levels within safeguarding practice. In addition to the core training the Lead Practitioner for Safeguarding and Learning and Development advisors have delivered further training and workshops, including around Organisational Safeguarding, Financial Fraud, Domestic Abuse and Vulnerable Adults Risk Management (VARM).

In order to respond to increasing numbers of safeguarding referrals, a key area of focus for LCC has been to continue to develop consistent and robust approaches to applying safeguarding thresholds and addressing initial areas of risk relating to safeguarding adults referrals. Therefore the focus of the Safeguarding Adults Team has been revised.

The purpose of the Safeguarding Adult Team is to ensure that there is a consistent and timely approach to applying safeguarding thresholds at the 'front end' of the process, and in identifying and addressing immediate risk and establishing the outcomes of the person involved, in line with Making Safeguarding Personal principles. The new team has recently become operational and therefore is on-going analysis of the impact on throughput and allocation of safeguarding cases. Early indications are that the through initial swift responses including meeting with the adult at risk as soon as possible, the team are able to more quickly identify where safeguarding thresholds are not met and alternative signposting and referrals are required to manage any risk. This enables the Locality Teams to focus their resources on adults at risks who may be unable to protect themselves from abuse, and is likely to result in lower numbers of safeguarding enquiries being reported by LCC going forward.

Discussions are on-going with Signs of Safety (SoS) consultants looking at developing this approach for adults, particularly around a model for safeguarding meetings.

We have been working on processes to support staff to effectively evidence robust decision making within safeguarding practice, potentially based on SoS model and a new case recording template has now been developed and is being piloted across several localities, and this will be audited in the next couple of weeks.

Following the development of our database to better record and report on how the principles of Making Safeguarding Personal are being applied, we can evidence the increasing numbers of people who feel their outcomes are being met and they felt listened to within the safeguarding enquiry.

We have facilitated workshops and training with NHS colleagues to improve the shared understanding of Section 42 oversight duties and application of safeguarding thresholds within health settings.

We are committed to working with independent providers and the Care Quality Commission (CQC) to improve the quality and safety of care provided. This year has seen a reduction in safeguarding investigations in care home settings.

Our safeguarding data evidences that LCC has effectively worked with Residential Care Providers to reduce risk in recent years as the percentage of safeguarding enquiries undertaken in care homes in Leicestershire has dropped from 61.6% in 2015/16 to 38.9% in 2016/17. This work continues and there is also a focus on work with domiciliary and supported living provider services.

LCC has active membership of the SAB subgroups and we have had significant involvement in the review and update of several key pieces of safeguarding

guidance, including VARM, People in Positions of Trust (PIPOT) and Thresholds and the current review of the Multi-Agency Policy and Procedures. The revised LLR thresholds guidance is now being adopted regionally by the East Midlands Safeguarding Adults Network (EMSAN) with a proposal that this is taken forward by the Association of Directors of Adults Social Services (ADASS) potentially on a national basis.

The SAB Audit Group is also chaired by the LCC Lead Practitioner for Safeguarding and has successfully delivered multi-agency audits around Domestic Abuse and Strategy meetings in the last year.

As active members of EMSAN we have delivered guidance on effective safeguarding Audit assurance tools and the use of agreed thresholds for front line workers. Shared practice across the region helps to embed best practice and influence consistent standards. The work of the EMSAN is fed back to the LRSAB through the Safeguarding Adult Review (SAR), Policy and Procedures and Safeguarding Effectiveness Group (SEG) subgroups.

Deprivation of Liberty safeguards have continued to present a challenge in 2017-18 as demand for sign-offs continue to rise. We have targeted our most experienced staff to undertake training and qualification to carry out Best Interest Assessments to most effectively manage this demand and continue to prioritise those most at risk for urgent assessment and authorisation.



Rutland County Council (RCC) continues to utilise its Adult Social Care role – Assistant Care Manager (ACM) – within the Prevention and Safeguarding Team in order to provide time limited and person centred outcomes for those adults who are deemed at risk of being re-referred as a Safeguarding Adult enquiry. This service is non-means-tested to encourage those at risk of self-neglect to engage with support.

Previous year's plans to recruit another ACM and a social worker to extend capacity and provide a Rapid Response role were agreed and there are now two practitioners in these posts fulfilling the remit of the roles to provide a quick response in cases where safeguarding, neglect and self-neglect are indicated.

Case example of the type of support provided;

*Practitioners responded to a case of an adult who was self-neglecting, was in poor health and who had no support from family. The adult was very resistant to support at first and it took regular visits from our ACM over a couple of months to build a relationship and trust. The adult did subsequently agree to support in the form of assistance in accessing health appointments and the provision of regular personal care in a respite bed. RCC also supported to deep clean his property and secured a*

*grant to provide him with new furniture. He also agreed to a package of support in his home which was personalised to include support to access the community once a week and manage his own tasks e.g. shopping. Recent feedback from him would suggest that he is recovering well from his acute episode and is happier in his home environment.*

RCC continues to monitor and develop its Liquid Logic system to provide accurate measures of reporting relating to safeguarding enquiries in order to identify trends and themes to shape service development moving forward. East Midlands Safeguarding Adults Network questions have been included within the RCC Personalisation survey which is completed at the end of any safeguarding enquiry to record the adults experience of the process.

All new Adult Social Care practitioners who are responsible for processing enquiries have completed safeguarding adults training at enquiry level.

All practitioners within the Adult Social Care service in Rutland, including integrated Health colleagues, attend Safeguarding Continuous Professional Development (CPD) sessions bi-monthly. These sessions are consistently well attended by the service and provide updates on Leicester, Leicestershire & Rutland multi-agency audits, relevant case law, and practice updates. Workers are encouraged to present case studies for peer review and peer shared learning.

Adult Safeguarding Basic Awareness Training (in-house) continues to be provided to all new starters within Adult Social Care and refresher training ongoing for current employees.

Further development will be ongoing regarding legal literacy, case law as it develops, and learning from audits and quality assurance.

- Building closer links between Adult Social Care, housing and community safety colleagues – improving community resilience
- Continuing to develop closer working across ASC and Children's social care - domestic violence and mental health
- CPD on domestic abuse and training provided to embed the trilogy of risk suite of resources



## Leicestershire Police

Protecting our communities

### **Adults At Risk**

We have continued to raise the understanding of adults at risk by our frontline staff through training and communication strategies. This has resulted in an 8% increase in AAR referrals to 14,000 in 2017/2018

HMIC said;

“The force is fully committed to identifying and helping vulnerable people. It now works even more effectively with partner organisations. This helps it to get a co-ordinated view of the number of vulnerable people in the local community and of the needs which these people have. Officers and staff recognise when people are at risk of harm, and the force provides a comprehensive range of services to deal with the effects of mental ill-health, particularly through the work of the proactive vulnerability engagement (PAVE) team.”

### **Domestic Abuse**

We view the increased reporting of Domestic Abuse as positive rising by 12.5% in 2017/18 to 18,000 incidents. This increased demand does create capacity issues with a reduced workforce. We utilise a range of tactical options to resolve situations including domestic violence prevention orders (increase of 41%), disclosures under Claire’s Law, as well as supporting victims to arrange their own preventative orders. We take a lead role in multi-agency working both tactically through MARAC and strategically through the Domestic and Sexual Violence and abuse Executive and Operations group. We have worked with partners to create a, Vision, Strategic Objectives, recommendations and a delivery plan, all derived from the Joint Strategic Needs Assessment.

Improvements in how the force deals with domestic abuse have been recognised; the force has had two “Good” inspections from HMIC;

“Victims of domestic abuse now receive a better service from the force. This is because the force works more closely with partner organisations, has more staff who have been trained to carry out safeguarding, and because there are more frequent multi-agency meetings to consider high-risk cases. Joint work between the force and other organisations has resulted in an exemplary sexual assault referral centre (SARC). The centre offers comprehensive professional support to victims of sexual assault.”

### **VAWG & Safeguarding Hub Project**

Funding from the Home Office Violence Against Women and Girls Strategy, is enabling us, together with partners, to make improvements to MARAC and the Domestic Abuse Support Team. The Force has embarked upon a project to create a single Safeguarding hub. This will create a holistic process which reviews, researches and assigns an appropriate response which is better able to deal with the complex needs of service users. Although this will start as predominately a Police

capability, we are working with partners to exploit opportunities to work together so that our collective offer is more effective and efficient for the user.



We successfully introduced a hospital 'independent domestic violence advisor' (IDVA) into the Emergency Department at the Leicester Royal Infirmary. The IDVA has been instrumental in supporting the team to secure refuge for a woman who had no recourse to public funds due to her circumstances. The IDVA has also ensured that a number of patients have received specialist domestic abuse support before leaving the department.

We transferred all of our safeguarding records for maternity, children and adults onto an electronic database to ensure data is kept in one place. This means that the team have ready access to cases and information, to enable us to cross reference information that the Trust holds on safeguarding concerns

We delivered accredited PREVENT WRAP training to over 7,475 staff as part of a plan to train 87.9% of clinical staff by April 2018, as part of our NHS England contractual requirements

We embedded the principles of Making Safeguarding Personal into the core business of adult safeguarding. This means that the adult safeguarding nurses can ensure the wishes of the adult are central to our investigations.

We have worked with safeguarding partner agencies to complete 5 multi-agency audits.

We have promoted the use of the NHS England Safeguarding App. This means that staff using the App have immediate access to consistent information about safeguarding and the wider agenda such as Mental Capacity Act.

We have worked with local authority partners to review the system for undertaking internal safeguarding adult investigations, and to provide assurance that this is compliant with the Care Act. This means that we have good arrangements in place to appropriately investigate adult safeguarding concerns which occur within the Trust, and that we can demonstrate lessons identified and learned.



# LEICESTERSHIRE

## FIRE and RESCUE SERVICE

2017/18 has seen significant improvements in the way we work with partners and target our activities at the most vulnerable people.

Referrals for Home Fire Safety Checks are now triaged according to risk information provided by partner agencies, so we can respond quickly to those people most in need. The main role of the Community Safety team is to manage high fire risk cases, and work with the occupant and relevant agencies to reduce the risk of fire. In cases when there is a direct threat of arson we visit the property the same day.

We now have a designated adult safeguarding coordinator who triages and follows up safeguarding concerns. Cases are predominantly related to neglect or self-neglect, often in association with fire risks and concerns about health and well-being. The co-ordinator is based within the police adult referral team, which facilitates information sharing and more efficient partnership working. We conduct joint home visits with partners and regularly contribute to Vulnerable Adult Risk Management (VARM) meetings to support high-risk cases.

Our Community Safety staff attend relevant multi agency training and contribute to the training programme. We offer training to front line staff in partner agencies (e.g. domiciliary carers, adult social care, and police) on identifying and reporting fire safety. All our public-facing staff have received safeguarding awareness training and individual teams receive further training relevant to their role. For example, our Fire Safety Officers (who carry out inspections of businesses) requested training on modern slavery.

Over the last 12 months LFRS has continued to work with hoarders and has contributed to hoarding and self-neglect workshops both locally and nationally.

Following serious fires we always offer a 'Post Incident Response' to help reassure the local community and offer fire safety information and home checks to neighbouring properties. Our fire station managers attend district community safety partnership meetings, in order to work together to reduce those risks to the community and to individuals.



The National Probation Service in Leicester, Leicestershire and Rutland (NPS LLR) places adult safeguarding at the heart of our practice, both in relation to preventing further victims and in our work with offenders. Adult safeguarding also remains a key consideration of the work of Multi-Agency Public Protection Arrangements (MAPPA) and, as such, our work in partnership with both statutory and duty-to-cooperate



partners continues to make a significant contribution to the management of those cases where safeguarding is an issue.

The core adult safeguarding e-learning is completed by all staff at all grades. It is a requirement for new staff to complete within their probationary period, and is refreshed every 3 years across the whole staff group. For front line staff, this is followed by a face to face learning event. Additional learning opportunities across the county are offered to staff as they become available, together with internal reflective practice sessions and line management supervision, in which safeguarding issues are reviewed, and guidance and oversight provided.

NPS LLR gives consideration to the care and support needs of offenders in the community (including pre and post-custody) and work in partnership with offenders and local authorities where such needs exist. Every offender supervised by NPS LLR has a full OASys assessment completed, identifying risks posed by and to the offender. An ongoing dialogue takes place between the Offender Manager and the offender in relation to issues of known vulnerabilities. Action is then taken in response to this and recorded appropriately. Every offender is encouraged and supported to complete a self-assessment questionnaire which provides a further opportunity to identify adult safeguarding issues.

Operational managers complete quality assurance audits on risk management and sentence plans to ensure oversight of practice capability amongst our staff, with identification and action in relation to safeguarding issues forming a key part of these quality assurance audits. These audits are due to increase in frequency over the year ahead, together with a planned inspection by Her Majesty's Inspectorate of Probation.

At a senior management level, NPS LLR continue to engage positively with the Safeguarding Adults Boards, contributing to the Review Sub Group and Domestic Homicide Reviews. Learning is shared with staff across NPS LLR in written format and in team briefings, together with divisional and national learning from Serious Further Offence reviews.

NPS LLR remain committed to delivering a quality service, and learning from our practice and partnerships.



Safeguarding touches everyone's lives at some time, including the lives of the service users and staff of Leicestershire Partnership NHS Trust (LPT). Many of our service users have experienced abuse of some kind, or may be at risk of experiencing abuse either now or in the future. Few of these service users exist in isolation, which is why in 2017 LPT have continued to build on the work to adopted a 'Whole Family' approach to safeguarding, including moving to a position of a Whole Family safeguarding team instead of separate Adult and Children team.

Training and information for staff has been adapted in relation to Individual and organisational responsibilities and in line with promoting a Whole family approach. Likewise, LPT has continued to work towards improving health outcomes for Looked after Children (LAC) and supporting the Child Death Overview Process (CDOP).

The Trust has launched a Community Mental Capacity Act Champions Group to build on the work of the In-patient Champions group in supporting consistent good practice in assessing Mental Capacity.

The PREVENT Statutory Duty was introduced in 2015, placing specific statutory obligations on health organisations and other partners to support the protection of individuals vulnerable to exploitation by extremist groups. Moving forward LPT will have a Prevent Lead and Prevent co-ordinator as part of the Whole Family Safeguarding Team, who will ensure compliance with statutory responsibilities including training delivery.

Given the vulnerabilities of those we work with in LPT, we must continue to focus on 'Early Help' and Prevention and lesson learning in 2017-18 in order to prevent the risk of Abuse to Vulnerable Adults and Children in contact with LPT services. LPT is closely monitored in relation to safeguarding activity both internally and externally to ensure the organisation is compliant with statutory requirements placed upon health organisations.



Derbyshire, Leicestershire, Nottinghamshire & Rutland Community Rehabilitation Company (DLNR CRC) is responsible for the supervision of low and medium risk of harm adult offenders, the provision of a range of rehabilitative interventions for CRC and National Probation Service (NPS) cases and the delivery of 'Through the Gate' (TTG) services in Resettlement Prisons. This work involves working with adult offenders who are both perpetrators of abusive behaviour and individuals who present with multiple vulnerabilities

Safeguarding is a core statutory function of DLNR CRC. Risk assessment and risk management is one of its key activities, driving all its activities with service users. Safeguarding considerations are considered within assessment and risk management plans at all stages. DLNR CRC use specialist risk assessment tools such as Offender Assessment System (OASys) and Spousal Assault Risk Assessment (SARA) to support defensive decision making across all areas of risk. All operational staff are trained in safeguarding as part of their core training and DLNR CRC has a competency framework to ensure that all cases are allocated to appropriately trained staff on the basis of identified risk and need.

DLNR CRC work with a significant number of cases that are perpetrators of domestic abuse. All our case managers are specifically trained for this work and we also deliver two programmes dependent upon risk and need. These programmes are

called Building Better Relationships Programme and Safer Choices respectively. In all this work we also employ partner link workers to provide support to victims of abuse through linking them with local specialist agencies. DLNR CRC are a key participating partner in local Multi-Agency Risk Assessment Conference (MARAC) arrangements. We have established protocols for the exchange of information to support decision making and also attend all MARAC's with listed cases.

DLNR CRC recognise that abuse can also occur in other contexts and across other vulnerabilities. DLNR CRC is committed to working with its adult social care, substance misuse, housing and health partners from both the statutory and voluntary sector to support a joined up approach to prevent and reduce the escalation of abuse.

DLNR has quality assurance mechanisms to support the maintenance of effective practice standards. All team managers within DLNR CRC attend 'Quality Days' on a monthly basis during which case records are sampled and quality assured. DLNR CRC also have an Internal Audit team who undertakes themed audits across DLNR. DLNR CRC are also subject to audits through Her Majesty's Prison & Probation Service (HMPPS) contract management team and HM Inspectorate of Probation (HMIP).

This page is intentionally left blank

## CABINET

16 October 2018

### LEICESTERSHIRE AND RUTLAND LOCAL SAFEGUARDING CHILDREN BOARD (LRLSCB) ANNUAL REPORT 2017/18

#### Report of the INDEPENDENT CHAIR OF THE LRLSCB

Strategic Aim:	Creating a brighter future for all	
Key Decision: No	Forward Plan Reference: FP/1708/18	
Exempt Information	No	
Cabinet Member(s) Responsible:	Councillor Richard Foster, Portfolio Holder for Safeguarding Children and Young People	
Contact Officer(s):	Simon Westwood, Independent Chair of the LRLSCB	Tel: 0116 305 7130 <a href="mailto:sbbo@leics.gov.uk">sbbo@leics.gov.uk</a>
	Dr Tim O'Neill, Director for People and Deputy Chief Executive	Tel: 01572 758307 <a href="mailto:toneill@rutland.gov.uk">toneill@rutland.gov.uk</a>
Ward Councillors	N/A	

#### DECISION RECOMMENDATIONS

That Cabinet:

1. Notes the draft Annual Report and makes any comments for amendment to be considered by the Independent Chair of the Local Safeguarding Children Board.

## **1 PURPOSE OF THE REPORT**

- 1.1 The purpose of this report is to advise the Cabinet of the key findings of the Annual Report 2017/18 for the Leicestershire and Rutland Local Safeguarding Children Board (LRLSCB). The report will be finalised by the LRLSCB at its meeting on 12 October 2018 and subsequently published.

## **2 BACKGROUND AND MAIN CONSIDERATIONS**

- 2.1 The LRLSCB is a statutory body established by Section 13 of the Children Act 2004 and currently operates under statutory guidance issued in Working Together 2015. It is a requirement that the Board produce an Annual report regarding its work and report it to the Leader of the Council together with the Chief Executive of the local authority, the Chairman of the Health and Wellbeing Board, and the Police and Crime Commissioner and the Chief Constable.
- 2.2 Under the Children and Social Work Act 2017, LSCBs are due to cease and local multi-agency safeguarding arrangements will be established in line with statutory guidance issued in Working Together 2018. Until multi-agency safeguarding arrangements are in place LSCBs will continue to function under current statutory guidance.
- 2.3 The Annual Report provides a full assessment of performance on the local approach to safeguarding children in line with the requirements of the legislation and statutory guidance.
- 2.4 The key purpose of the Annual Report is to assess the impact of the work undertaken in 2017/18 on service quality and on safeguarding outcomes for children in Leicestershire and Rutland. Specifically it evaluates performance against the priorities that were set out in the LRLSCB Business Plan for 2017/18.
- 2.5 The draft Annual Report can be found at Appendix A to this report, and includes:
- (i) A foreword from the Independent Chair;
  - (ii) A summary of the work and findings of the Board during the year;
  - (iii) An overview of the Board's governance and accountability arrangements and local context;
  - (iv) Two separate outlines of safeguarding performance, activity and outcomes for Leicestershire and Rutland;
  - (v) Analysis of performance against the key priorities in the 2017/18 Business Plan;
  - (vi) An overview of the Board's work on engagement, assurance, learning and development and training;
  - (vii) The challenges ahead including the Business Development Plan Priorities for 2018/19.

## **3 KEY MESSAGES**

- 3.1 The key messages from the LRLSCB for the specific attention of the County Council's Cabinet are:
- a) Workers and agencies work well together to safeguard children in Rutland.
  - b) Notable reductions in referrals to social care and children on child protection plans need to be further understood.

- c) Understanding of Disclosure and Barring Service (DBS) checks and the Local Authority Designated Officer (LADO) needs to be improved within the voluntary and community sector.
- d) Consistency of practice remains an area for improvement.
- e) The Board will continue to challenge and drive improvement in safeguarding of children, preparing for the changes in legislation which will require the establishment of new safeguarding arrangements by 2019 led by three statutory partners; the local authorities, the clinical commissioning groups for the area and the police.

## **4 CONSULTATION**

- 4.1 The annual report includes a summary of the consultation and engagement work the LSCB has carried out with children and young people and with practitioners.
- 4.2 All members of the LRLSCB and their Executive have had opportunities to contribute to and comment on drafts of the Annual Reports.
- 4.3 The Annual Report is being presented to a range of forums including the Cabinets, Adults Scrutiny Panels or Committees and the Health and Well-Being Boards in both local authority areas.

## **5 ALTERNATIVE OPTIONS**

- 5.1 The Annual Report is a retrospective report. Any amendments to the report put forward by the Cabinet will be considered by the Independent Chair of the LSCB

## **6 FINANCIAL IMPLICATIONS**

- 6.1 There are no resource implications arising from this report, as this is a retrospective report. The LRLSCB operates within a budget to which partner agencies contribute.
- 6.2 Rutland County Council contributes £52,250 to the costs of the LRLSCB (of a total budget of £240,263 in 2018/19).
- 6.3 Following anticipated funding reductions and agreement with Board partners the Board budget for 2018/19 no longer includes funding for Serious Case Reviews (or Safeguarding Adults Reviews for the SAB). These are to be funded through the reserves of the Safeguarding Boards. The reserves are sufficient to cover current reviews underway. The Board has agreed that any additional costs would be covered proportionally by safeguarding partners.
- 6.4 The budget requirement for future years will be considered in the work to agree new multi-agency arrangements for safeguarding children and parallel consideration of safeguarding adults board support arrangements.

## **7 LEGAL AND GOVERNANCE CONSIDERATIONS**

- 7.1 The LRLSCB is a statutory body. Local authorities have a duty to ensure that the Board is enabled to operate effectively.
- 7.2 Under the Children and Social Work Act 2017, LSCBs are due to cease and local multi-agency safeguarding arrangements will be established in line with statutory

guidance issued in Working Together 2018. Until multi-agency safeguarding arrangements are in place LSCBs will continue to function under current statutory guidance.

- 7.3 It is a requirement of Working Together 2015 (Government guidance on inter-agency working on children's safeguarding) to submit the Annual Reports to the Leader of the Council, and it has been deemed good practice to consult on the Business Plans since these form the core of the annual reporting process. In addition, the Cabinet has always been included in this reporting.

## **8 DATA PROTECTION IMPLICATIONS**

- 8.1 A Data Protection Impact Assessment (DPIA) has not been completed for the following reasons. The LSCB has an Information Sharing Agreement and operates in line with the Data Protection Act and General Data Protection Requirements. All information is shared for safeguarding processes and appropriate controls are in place to ensure data security.

## **9 EQUALITY IMPACT ASSESSMENT**

- 9.1 Safeguarding children, young people and adults concerns individuals who are likely to be disadvantaged in a number of ways. Information on differing needs of, and impacts on different groups of individuals with regard to safeguarding is considered as part of the process to develop the Board's Business Plan. Specific impacts on or views of different groups is also considered in the work of the LRLSCB and LRSAB Safeguarding Effectiveness Group (SEG) in assessing performance and effectiveness with regard to safeguarding.

## **10 COMMUNITY SAFETY IMPLICATIONS**

- 10.1 There is a connection between the work of the LRLSCB and that of the Safer Rutland Partnership. The Boards work with community safety partnerships to scrutinise and challenge performance in community safety issues that affect the safeguarding and well-being of individuals and groups e.g. Domestic Abuse, CSE and Prevent. The LSCB and SAB also support the community safety partnership in carrying out Domestic Homicide Reviews and acting on their recommendations.

## **11 HEALTH AND WELLBEING IMPLICATIONS**

- 11.1 Safeguarding is everyone's responsibility. Health and care needs can be linked to safeguarding risk for adults and children and health and care practitioners can have opportunities to identify and respond to safeguarding risk not available to workers in other agencies.
- 11.2 The Annual Report for 2017/18 incorporates performance and analysis regarding areas within priority health workstreams, including emotional health and well-being and mental health. The Annual Report has been presented to the Rutland Health and Wellbeing Board.

## **12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

- 12.1 The Local Safeguarding Children Board has produced its Annual Report for 2017-18 assessing and analysing the activity and performance of the Board and partner



agencies regarding safeguarding children. This Annual Report is presented to Cabinet for their information and input.

### **13 BACKGROUND PAPERS**

13.1 There are no additional background papers to the report.

### **14 APPENDICES**

14.1 Appendix A – LRLSCB Annual Report – 2017/18

**A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.**



LEICESTERSHIRE AND RUTLAND  
LOCAL SAFEGUARDING CHILDREN  
BOARD (LRLSCB)

# Annual Report

## 2017/18

### Document Status

---

**First draft completed:** 21/06/2018

**Approved by Executive:**

**Approved by Board:**

**Published:**

**Report Author:** Safeguarding Boards Business Office,  
Leicestershire & Rutland LSCB and SAB

**Independent Chair:** Simon Westwood

## **Foreword**



I am pleased to present the Annual Report for the Leicestershire and Rutland Local Safeguarding Children (LRLSCB) 2017/18.

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

The key purpose of the report is to assess the impact of the work we have undertaken in 2017/18 on safeguarding outcomes for children, and young people in Leicestershire and Rutland. Though the report is joint for the two areas it provides distinct findings about practice and performance in both Leicestershire and Rutland.

### **LRSCB Vision**

The Board needs to ensure that the strategic vision for safeguarding is actively promoted and communicated to all staff in partner agencies.

### **Purpose of the Safeguarding Children arrangements:**

- Promote continuous improvement through a realistic and focused business plan with a few key priorities and implementation support appropriately resourced.
- To enable and require partnerships and agencies to account for and evidence what they do that safeguards children.

### **What we want to achieve for children and young people:**

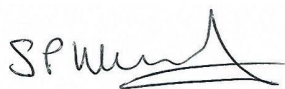
#### **Children are safe, they tell us they feel safe and know who to turn to for help and assistance**

- We want to find evidence of greater emotional resilience, self-worth/confidence in young people
- Overall, we want to see reductions in adverse childhood experiences e.g. abuse, exploitation, neglect, mental ill health, being affected by domestic abuse and substance misuse

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

I hope that this Annual Report will help to keep you informed and assured that agencies in Leicestershire and Rutland are committed to continuous improvement.

Simon Westwood

A handwritten signature in black ink, appearing to read 'SP Westwood', with a stylized flourish at the end.

Independent Chair

## **Contents**

Foreword	2
Summary	4
Board Background	6
Safeguarding Children in Leicestershire	8
Safeguarding Children in Rutland	11
Safeguarding Children in Leicestershire and Rutland	13
Business Plan 2017/18 Achievements	15
Operation of the Board	
- Partner and Public Engagement and Participation	19
- Challenge and Assurance	20
- Learning and Improvement	24
- Child Death Overview Panel	26
- Procedures and Co-ordination	26
- Training and Development	27
Income and Expenditure 2017/18	30
Business Plan Priorities 2018/19	31
Partner Updates	32

## **Summary**

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

In reaching this conclusion, we have:

Sought assurance that those who work directly with children listen to what they are saying and to respond to them appropriately and worked with young people to set up a Young People's Advisory Group to influence and support the work of the Board.

Monitored data and information on a regular basis. Learning from this includes:

- Whilst there were more calls to children's services there were fewer referrals to social care in Leicestershire and Rutland than previous years.
- There are fewer children on Child Protection Plans in Leicestershire and Rutland than previous years.
- The proportion of repeat child protection plans in Leicestershire has increased
- Neglect remains the most prevalent form of abuse in Leicestershire and Rutland
- There was a continued increase in the number of children recorded as home educated in Leicestershire, but appropriate safeguarding approaches are in place.

Worked on and reviewed progress against our Business Development Plan for 2017/18;

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

- A 'Section 11' peer review of organisations safeguarding approaches
- Case audits of frontline practice regarding 'Early Help' services and Children with Disabilities;

Carried out Serious Case Reviews and other reviews of cases and disseminated learning from these across the partnership.

Reviewed safeguarding procedures and developed stand-alone procedures, including a procedure regarding pre-birth safeguarding;

Provided training in partnership with Leicester City LSCB on a number of topics relevant to safeguarding including our Safeguarding Children Competency Framework and learning from Serious Case Reviews.

Commissioned work to assess safeguarding knowledge and practice in the voluntary and community sector that identified some areas for improvement and further work.

More information on all of these areas can be found throughout the Annual Report

The nature of the Board is of holding partners to account and promoting learning and improvement. Therefore the Board is always considering how it can further improve

safeguarding practice. The key areas for further development arising from the ongoing work of the LSCB include:

- Embedding the work of the Young Peoples Advisory Group to enable children to influence the LSCB's priorities and their delivery more fully.
- Continuing to challenge and support improvement in practice with regard to supervision, recording and responding to the lived experience of Children.
- Developing practice across the partnership regarding safeguarding Children with Special Educational Needs and Disabilities.
- Increasing assurance regarding children missing from home and care and the strength of the partnership response to this.
- Improve awareness raising of private fostering across the partnership and wider community.

### Key Messages

- Workers and agencies work well together to safeguard children in Leicestershire and Rutland.
- Capacity of workers in some agencies working in and across Leicestershire and Rutland is impacting upon their ability to attend training and put learning into practice.
- Understanding of Disclosure and Barring Service (DBS) checks and the Local Authority Designated Officer (LADO) needs to be improved within the voluntary and community sector.
- Consistency of practice remains an area for improvement in many agencies working in and across Leicestershire and Rutland. This particularly includes quality of assessment, recording, information sharing and hearing and responding to the voice of children.
- The Board will continue to challenge and drive improvement in safeguarding of children, preparing for the changes in legislation which will require the establishment of new safeguarding arrangements by 2019 led by three statutory partners; the local authorities, the clinical commissioning groups for the area and the police.
- We will continue to work with other strategic partnerships to further clarify governance and leadership

## **Board Background**

The LRLSCB serves the counties of **Leicestershire** and **Rutland**. It is a statutory body established in compliance with The Children Act 2004 (Section 13) and The Local Safeguarding Children Boards Regulations 2006 to:

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

Its work is governed by 'Working Together to Safeguard Children 2015' statutory guidance.

The Board is made up of organisations in the public sector with lay members, voluntary sector representation and led by an Independent Chair. The Board has established subgroups and task and finish groups to function effectively and achieve its objectives. The membership and structure of the board can be found on the Board's website [www.lrsb.org.uk](http://www.lrsb.org.uk).

Under the Children and Social Work Act 2017 LSCBs are due to cease and local multi-agency safeguarding arrangements will be established. The detail of the requirements for these new arrangements was published in Working Together 2018 guidance and the new arrangements will be required to be in place by September 2019. Until multi-agency safeguarding arrangements are in place LSCBs will continue to function under current statutory guidance.

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

From July 2018 the LRLSCB will no longer meet alongside the Leicestershire and Rutland Safeguarding Adult Board, as that Board aligns its operation more closely with the Leicester City Safeguarding Adults Board.

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

The LSCB is funded through contributions from its partner agencies. In addition to financial contributions, in-kind contributions from partner agencies are essential in allowing the Board to operate effectively. In-kind contributions include partner agencies providing training resource for the inter-agency programme and chairing and participating in the work of the Board and its subgroups and Leicestershire County Council hosting the Safeguarding Boards Business Office. The income and expenditure of the Board is set out on Page 30 of this report.



## **Independent Chair**

The LRLSCB is led by an Independent Chair. The Independence of the Chair of the LSCB is a requirement of Working Together 2015.

During 2017/18 Leicestershire and Rutland continued to have a joint Chair for both Safeguarding Adults and Children Boards. From 2018/19 Simon Westwood will continue to Chair the LRLSCB. A new joint Independent Chair has been appointed by Leicestershire & Rutland and Leicester City Safeguarding Adults Boards as part of aligning safeguarding adults work across the two areas.

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

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

The structure of the LRLSCB and membership of the Board can be found on the Board's website [www.lrsb.org.uk](http://www.lrsb.org.uk).

## **LSCB Business Plan Priorities 2017/18**

Priorities set by the LRLSCB for development and assurance in 2017/18 were that:

- Children at risk of child sexual exploitation (CSE), trafficking and missing are effectively safeguarded
- Safeguarding risk with regard to children with disabilities is understood and responded to
- Consistency of practice is developed across the partnership in delivering the Signs of Safety model of practice in Early Help, Child Protection and Care

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

- To be assured that in situations where domestic abuse, substance misuse and mental health difficulties are all present (toxic trio) the impact is recognised and responded to using robust multi-agency risk assessment, information sharing and sign posting to resources
- Children and vulnerable adults have effective, direct input and participation in the work of the Boards
- The Board is assured that the emotional health and well-being of adults and children and safeguarding risk is understood
- To strengthen multi-agency risk management approaches

## **Safeguarding Children in Leicestershire**

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

### **Safeguarding children snapshot for Leicestershire:**

**134,800** children and young people aged under-18 live in Leicestershire<sup>1</sup> (20% of the population).

**13.7%** of children and young people aged 0-17 are from a Black or Minority Ethnic (BME) background, slightly above the general population (11.1%).

- ▲ **16,855** contacts to First Response (Children's services) in Leicestershire
- ▲ **3,156** referrals to Early Help services
- ▼ **6,609** referrals to Children's social care
- ▲ **30%** of referrals to CSC were re-referrals
- ▼ **2,763** Children in Need at the end of March 2018
- ▼ **394** Children on Child Protection plans at the end of March 2018
- ▲ **284** Child protection plans during the year where Neglect is a factor – **63%** of all new plans.
- ▲ **24%** of Child Protection plans were for children who had previously been on a plan.
- ▼ **247** referrals regarding Child Sexual Exploitation
- ▼ **560** children reported missing
- ▲ **73%** of return interviews completed
- ▲ **496** Children in Elective Home Education (EHE) at the end of March 2018
- ▼ **79%** of children in EHE during the year received their statutory visits
- ▲ **548** Children in Care
- ▼ **4** notifications regarding Private Fostering arrangements
- ↔ **245** referrals to the Local Authority Designated Officer (LADO)
- 4,448** referrals to Child and Adolescent Mental Health Services (CAMHS)

---

<sup>1</sup> ONS mid-year population estimates 2014

While there were more contacts to Children's Services on 2017/18 than the previous year referrals into Social Care, and the number of children in child protection plans has reduced. However more referrals are repeat referrals and more child protection plans were for children who have previously been on a plan. Neglect is recognised as a factor in a much larger number and proportion of cases than previously.

The reduction in the number of Child Protection plan starts mainly occurred in the last half of the year, and corresponds with an increase in cases assessed for no further action. The Local Authority report this may reflect positive action in the First Response Team to try to only put children to an Initial Child Protection Conference (ICPC) if they are likely to be put on a Child Protection Plan. In addition there has been an increase in proceedings regarding neglect which may have resulted in the reduction in Child Protection plans. The LSCB have requested further analysis from the Local Authority on this.

The increase in the proportion of plans that were for children who had previously been on a plan (second or subsequent plans) has been found to partially relate to large sibling groups coming back onto child protection plans, having not been subject to a plan for more than two years.

During the year the LSCB monitored completion of single assessments within 45 days after a reduction at the start of the year following a change in process. By the end of the year the Local Authority had cleared the resulting backlog and performance was back in line with previous years with 82% were being completed on time.

Leicestershire County Council have reviewed and revised the service delivery model for First Response, strengthening the 'front door' into children's services. The Local Authority is part of the Signs of Safety England Innovation Project, which is supporting ongoing development of the Signs of Safety approach within the authority and partnership, engaging practitioners and families.

Leicestershire County Council are reviewing Early Help services due to financial constraints. The Board will monitor the impact of this on safeguarding children.

There have been fewer referrals regarding CSE, fewer reports of children going missing and fewer children have gone missing and more return interviews have been carried out with children who have gone missing.

Following a concern regarding Police Child Abuse Investigation Unit cases which did not appear to have allocated Social Workers a process issue regarding meeting notification was identified in the Local Authority. The process has been changed and the impact will be monitored.

The number of children in Elective Home Education continues to rise, and there has been a drop in the proportion of children who have had a home visit.

The LSCB requested a specific report regarding safeguarding and Elective Home Education. The report from the Local Authority outlined processes and procedures

in place and provided assurance that arrangements in place were supporting safeguarding of children who are home educated and known to the authority.

The number of Children in Care has continued to increase.

DRAFT

## **Safeguarding Children in Rutland**

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

### **Safeguarding children snapshot for Rutland:**

**7,685** children and young people aged under-18 live in Rutland<sup>2</sup> (20% of the population).

**5.7%** of the population of Rutland are from a Black or Minority Ethnic (BME) background.

- ▲ **1,522** contacts to Children's services in Rutland
- ▼ **308** referrals to Children's social care
- ↔ **26%** of referrals to CSC were re-referrals
- ▼ **244** Children in Need at the end of March 2018
- ▼ **19** Children on Child Protection plans at the end of March 2018
- ▼ **11** Child protection plans during the year where Neglect was a factor – 52% of all new plans.
- ▼ **21%** of Child Protection plans were for children who had previously been on a plan.
- ▲ Average caseloads of **18** cases per worker
- 13 referrals regarding Child Sexual Exploitation
- ▲ **21** children reported missing
- ▲ **60%** of return interviews completed
- ↔ **No** Private Fostering referrals
- ▼ **No** children in Elective Home Education (EHE) at the end of March 2018
- ▼ **75%** of children in EHE during the year received their statutory visits
- ▼ **30** Children in Care
- 179** referrals to Child and Adolescent Mental Health Services (CAMHS)

---

<sup>2</sup> ONS mid-year population estimates 2014

While there were more contacts to Children's Services in 2017/18 than the previous year, referrals into Social Care and the number of children on child protection plans has reduced. A similar proportion of referrals were repeat referrals and a smaller proportion of child protection plans are for children who have previously been in a plan. Neglect and Emotional Abuse continue to be the main types of abuse.

The LSCB will continue to monitor the notable reductions in referrals and Child Protection plans in Rutland.

There have been more reports of children going missing and more return interviews have been carried out with children who have gone missing.

Numbers of children in Elective Home Education (EHE) remains very low. There has been a drop in the proportion of children in EHE who had a statutory home visit.

The LSCB requested a specific report regarding Elective Home Education which outlined processes and procedures in place and provided assurance that arrangements in place were supporting safeguarding of children who are home educated and known to the authority.

The number of Children Looked After has reduced.

Rutland County Council report that creative approaches have resulted in positive outcomes for some current and former Children Looked After.

The multi-agency Children Looked After / At Risk Children (CLA/ARC) panel in Rutland established in 2016/17 continues to support timely & effective decisions through monthly meetings to discuss cases where there has been an escalation of concerns.

Rutland County Council have continued to embed the Signs of Safety approach in practice through the year, embedding this in Child Protection Conferences & CLA reviews, and this is well received by Social workers and other professionals.

The Local Authority consistently holds Practice Workshops which review current practice and develop skills and knowledge which impact on practice.

## **Safeguarding Children in Leicestershire and Rutland**

### **Voluntary Sector Safeguarding Assurance**

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

The project ran for one year from August 2016 to August 2017 and was promoted through voluntary sector communication channels, newsletters and forums encouraging voluntary sector groups across the two Counties to complete the questionnaire in a paper, online format or by telephone. In addition, VAL contacted and followed up agencies directly by telephone to encourage completion.

During the year there was focused work to engage sports organisations and organisations working with children with special educational needs and disabilities in line with the Boards priorities.

Overall 188 organisations responded to the survey covering 7,849 volunteers and 2,096 paid staff across the two counties. With organisations reporting they delivered services to almost 45,000 children.

The key findings include:

- Staff or volunteers have received safeguarding training in **86%** of organisations
- **85%** of organisations have a designated lead person for safeguarding concerns
- **86%** of organisations have carried out DBS checks, though only 61% have carried out DBS checks for both relevant staff and volunteers, though this may be impacted by their workforce make up.
- **48%** of organisations were aware of the LSCB and its procedures and only **34%** of the Threshold guidance
- **42%** of organisations were aware of their obligations to report incidents to the LADO.
- **52%** of organisations were aware of Prevent (Preventing Violent Extremism) and only **26%** of organisations had accessed training on this.
- Levels of knowledge of Child Sexual Exploitation and Neglect varied across agencies.
- **21%** of agencies use the Leicestershire & Rutland Safeguarding Competency framework.

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

The LSCB Voluntary and Community Sector reference group are developing a communications strategy in response to this report to support communication of key messages to the sector to further address some of the apparent gaps in knowledge

and practice in some areas regarding safeguarding children, particularly regarding DBS checks, LADO obligations and Prevent.

### Partner updates

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

70 children were referred into the LFRS firestarters scheme in 2017/18. 75% were referred through an agency working with the child, and 20% were known to social care. Engagement in this work is having positive outcomes for vulnerable children. One Child in Care having gone through the course is reported by support workers to be 'a different child,' and the Fire Service is working towards them joining as a fire cadet. The Board are exploring links between this service and mental health services.

The partnership has noted a sustained increase in the average caseload of the Police Child Abuse Investigation Unit non-recent team, however the Police report they are able to appropriately manage cases.



## **Business Development Plan Priorities**

Progress on the Boards priorities is outlined below

### **LSCB Priority 1 – Children at risk of Child Sexual Exploitation (CSE), trafficking and missing are effectively safeguarded**

**We planned to** review how information from Missing children return interviews is analysed and used to support improvements to services and gain assurance that work on Child Sexual Exploitation is safeguarding and improving outcomes for children.

**We also planned to** identify potential areas for action regarding safeguarding compliance assessments in sport and other voluntary organisations across Leicestershire and Rutland and check that online safety information is supporting safeguarding of children and young people online.

**The partnership increased oversight** of missing cases to support effective operational responses and completion of return interviews and the CSE Hub developed a new approach to identifying and acting upon key themes from missing interviews and piloted this from December 2017.

**The partnership continued to** carry out communications regarding CSE as part of a partnership communication plan. CSE Outreach Workers and the Faith and Communities CSE Champion Service (EngageME) worked to engage and raise awareness regarding CSE with third sector organisations, sports clubs, voluntary organisations, faith groups and other community groups.

**The partnership developed and rolled out** 'In the Net' resource to appropriately raise awareness of CSE and online safety with primary age children. This was seen by almost 5,500 primary school children across 73 schools in Leicestershire and over 400 children across 7 schools in Rutland.

Chelsea's Choice theatrical CSE education productions were also further rolled out to children of secondary school age. This was seen by 11,000 secondary school children across 46 schools in Leicestershire and almost 500 children across 3 schools in Rutland.

In addition the partnership started to develop an educational campaign to further highlight online risks particularly via gaming platforms and 'Train the trainer' CSE training was delivered to secondary school leads and CSE awareness to primary school leads.

In Leicestershire there was a **10% reduction** in the number of children going missing (68 fewer) and a 16% reduction in missing episodes (230 fewer) compared to the previous year.

In Rutland there was a **133% increase** in the number of children going missing (12 more) and a 108% increase the number of missing episodes (13 more) compared to the previous year

**An increased number and proportion** of return from missing interviews were completed this year. In Leicestershire 884 interviews were carried out in 2017/18 for 1210 missing episodes, compared to 747 for 1440 episodes in 2016/17. In Rutland 15 return from missing interviews were carried out in 2017/18 for 21 missing episodes, compared to 3 for 12 episodes in 2016/17.

CSE and Missing will remain as a priority of the LSCB into 2018-19. This will include following up the impact of these areas of work and assurance regarding changes to services.

**We plan to** carry out case file audits of CSE and Missing cases and follow up the result of the analysis of return interviews in 2018.

## **LSCB Priority 2 – Safeguarding risk with regard to children with disabilities is understood and responded to**

**We planned to** carry out an organisational self-assessment to understand the current approach to safeguarding children with disabilities across agencies compared with good practice and carry out Multi-agency Case File Audits to test the effectiveness of current arrangements. The findings of these would inform an improvement plan that enables us better to safeguard Children with Disabilities.

**We identified** initial areas for improvement in the assessment, but the final report incorporating findings from the audit was not completed by the end of the year. Agencies responded to urgent matters identified in the assessment and audit, carrying out improvements to case working and procedures.

The final report on the assessment and audit will be reported to the Board in July 2018.

This priority has been carried forward into the Business Plan for the Board for 2018/19 and **we plan to** address key areas for improvement, including safeguarding procedures and training as part of this plan. This will include a learning event in the Autumn of 2018 to disseminate learning from the assessment and audit.

## **LSCB Priority 3 – Consistency of practice across the partnership in delivering the Signs of Safety model of practice in Early Help, Child Protection and Care**

**We planned to** promote and support the embedding of Signs of Safety across the partnership, particularly increasing schools awareness, engagement and skills in engaging in the Signs of Safety model. We also planned to support development of a quality assurance and performance management framework to test the impact of Signs of Safety on the quality of safeguarding services and practice and on safeguarding outcomes for children and young people.

**We revised** multi-agency documentation to support all organisations to contribute to the Signs of Safety approach and supported briefing sessions in the LSCB and for frontline workers on Signs of Safety.

**We developed** 3 key 'bottom lines' for good multi agency practice with the expectation that leaders, managers and trainers across the partnership actively promote. These are:

- Agencies attend multi-agency meetings.
- Agencies use the relevant forms to help develop a focused contribution to all multi-agency meetings.
- Agencies actively contribute to decision making and safety planning.

**We embedded** Signs of Safety within the LSCB case file audit approach.

The approach incorporating Signs of Safety has become more aligned across Leicester, Leicestershire & Rutland and partners, particularly schools, fed back that they found the revised documentation helpful and reported that they better understand the Signs of Safety process and multi-agency aspects of this.

Adult Social Care services in Leicestershire County Council are actively considering how the principles, disciplines and tools of the approach may be used and linked effectively with 'Making Safeguarding Personal'

As this is now well understood across the partnership, further development work on this will be led by the Local Authorities.

Progress on the four priorities shared with the LRSAB:

**LSCB / SAB Priority 1 – To be assured that in situations where domestic abuse, substance misuse and mental health difficulties are all present the impact is recognised and responded to using robust multi-agency risk assessment, information sharing and sign posting to resources**

**We planned to** develop a coherent, co-ordinated framework that delivers effective safeguarding responses where these three factors are present across families.

**We researched** the issues facing adult and children safeguarding and individual agencies with regard to this 'trilogy of risk'.

**We developed** a package of customisable materials for agencies to use within their own organisations to communicate key messages and improve practice.

**We plan to** launch the materials in July 2018 and will assess the dissemination of the materials and the impact of this work through a quality assurance plan developed alongside the materials.

**LSCB / SAB Priority 2: Children and Vulnerable Adults have effective, direct input and participation in the work of the Boards**

**We planned to** research models of participation for children and vulnerable adults and put in place an appropriate model of participation for the LSCB so that children have direct input into the work of the Board.

**We also planned to** develop an effective model for engagement of adults with care and support needs.

**We set up** a Young Peoples LSCB Advisory Group following research and engagement with young people.

**The Advisory group will** lead part of the LSCB Board meeting in July 2018 and **we plan to** work with the young people to further develop the group through the coming year.

**LSCB / SAB Priority 3: The Board is assured that the emotional health and well-being of adults and children and safeguarding risk is understood.**

**We planned to** produce practice guidance and implement appropriate training and development activities to develop common understanding of emotional health and safeguarding risk across all agencies and ensure emotional health and safeguarding risk

with regard to the broader family context is considered in safeguarding work with children and adults.

**We also planned to** review the Safeguarding Risk Assessment of the local Sustainability & Transformation plan for health.

**We explored** the gap in understanding and needs across the workforce with regard to emotional health and wellbeing and safeguarding. The breadth of scope for this piece of work meant that this work took longer than anticipated.

As a result of the assessment work, understanding emotional health needs of parents and carers was identified as the key area for work.

Further work will be taken forward by Future in Mind and Better Care Together within the Sustainable Transformation plan (STP).

Leicestershire Partnership Trust are developing their 'Whole family' approach which will support this.

#### **LSCB / SAB Priority 4: To strengthen multi-agency risk management approaches**

**We planned to** develop a structured multi-agency framework to enable a reflective supervision session to be used in cases where the issues are complex or entrenched.

**We created** an initial process following research into existing models locally and nationally and collating ideas and views of staff and tested the process.

**We plan to** test the process and adopt it by September 2018.

The impact of the process will be tested by reviewing outcomes for cases where the process has been used.

## **Operation of the Board**

### **Partner and Public Engagement and Participation**

#### **Partner Engagement and Attendance**

The Board met four times during 2017/18 with an additional extraordinary meeting to discuss the final report for a Serious Case Review.

Leicestershire and Rutland County Councils, the District Council representatives, the Police, University Hospitals of Leicester NHS Trust, East Midlands Ambulance Service and East Leicestershire & Rutland Clinical Commissioning Group attended all ordinary Board meetings during the year. Schools were also represented at all ordinary Board meetings.

Attendance by other members at Board meetings remain good across most other partners, with some exceptions. The National Probation Service only attended one ordinary meeting, sending apologies to two of the other three. CAFCASS have not attended any Board meetings this year. This is being followed up by the Independent Chair of the Board.

Attendance at subgroups of the Board is good across agencies.

The membership of the Board can be found on the Boards website [www.lrsb.org.uk](http://www.lrsb.org.uk).

#### **Voluntary Sector Engagement and Participation**

The Board has a Voluntary and Community Sector (VCS) Reference Group that provides a link to a broad range of voluntary sector groups to communicate key messages from the Board to the voluntary and community sector and to feed in the views and challenges of the sector into the Board.

As well as follow up to the voluntary sector safeguarding assurance survey the VCS Reference Group consistently promoted key single and multi-agency learning events and safeguarding resources, such as the Neglect toolkit to the sector.

The group identified the need to set up and then promoted a lunchtime workshop for working parents across Leicester, Leicestershire and Rutland to access to raise awareness of Child Sexual Exploitation.

The group highlighted issues within the MARAC process framework to the LSCB, which was fed into the Domestic Abuse and Sexual Violence Partnership. As a consequence there was a review of the level of resources and improvement in consistency of delivery.

#### **Public Engagement & Participation**

The Board has developed its approach to engaging children and young people in its work, as outlined under the shared engagement priority with LRSAB.

Young people were directly involved in shaping the set-up of the Safeguarding Board's Young People's advisory group. This group will lead agenda items for Board meetings and be involved in pieces of work for and with the Board.

Views of children and young people, including from Leicestershire Children in Care Council and Rutland Youth Council were considered in the development of the Board's priorities for 2018/19. This directly influenced the work plan of the Young People's Advisory Group and a continued focus on the voice and 'lived experience' of children across all Board priorities.

The LSCB has received reports on the voice of children and families and how agencies are recording and responding to these through its Safeguarding Effectiveness Group. These show that agencies across the partnership are listening to and responding to the voice of children to support safeguarding and broader service delivery.

### Assurance – Challenges and Quality Assurance

#### **Challenge Log**

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

- Attendance at Child Protection conferences. The Board challenged partners regarding low attendance at Initial Child Protection Conferences. The Board Chair challenged Police and Leicestershire County Council to cross-reference the data they hold with regard to this to provide a definitive picture of the issue.
- Child Sexual Exploitation service provision. The Board Chair, with his counterpart in Leicester City requested the Police and Crime Commissioner consider continuation of time-limited funding for key elements of the partnership response to Child Sexual Exploitation.
- Multiagency Safeguarding Arrangements. The Board Chair challenged statutory partners under the Children and Social Work Act 2017 to have early consideration of future structures for multi-agency safeguarding arrangements to be brought in with Working Together 2018.
- The Board continued to monitor timeliness of Initial Health Assessments for Children coming into care following a challenge in 2016/17.

Following these challenges:

- A Task and Finish Group has been set up to review procedures and set agreed parameters for attendance at Child Protection meetings and conferences and collate data regarding this. The Police have reported that they are committed to supporting ICPCs as appropriate with the resources they have.
- PCC funding for analyst and health posts in the multi-agency CSE team was continued into 2018/19.
- Senior Officers from statutory partners met to discuss the new multi-agency safeguarding arrangements prior to the release of Working Together 2018.

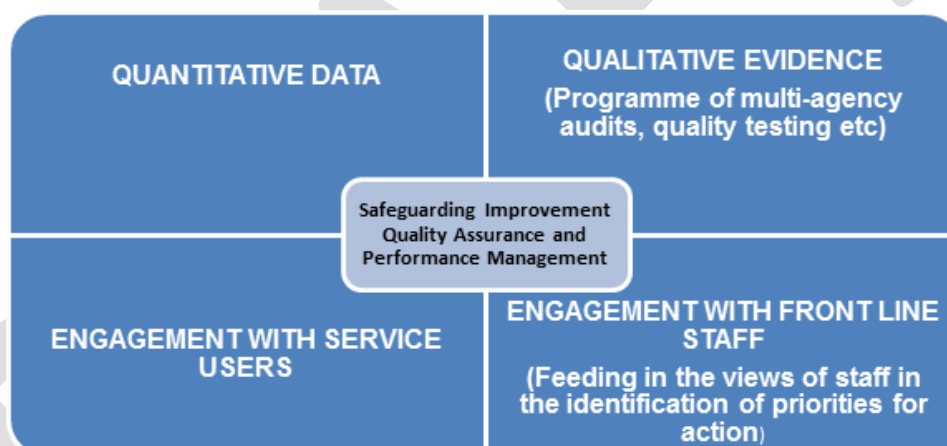
- In Leicestershire more Initial Health Assessments for Looked after Children were carried out on time and the Corporate Parenting Board is now overseeing performance on this.

## Quality Assurance and Performance Management Framework

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

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

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



## Audits

During 2017-18 the LSCB, along with the Leicester City LSCB trialled a new methodology for a 'Section 11' peer challenge of agencies' compliance against their duties within Section 11 of the Children Act 2004. In previous years this has taken place as a paper assessment, which has provided limited scope for challenge and further scrutiny.

For the peer challenge process agencies reviewed their compliance against the nine standards previously tested in our Section 11 processes. Each agency presented their findings to a panel made up of members of the two Safeguarding Children Boards, including Independent Chairs and Lay members. Presentations took place over three sessions. This process gave the opportunity for further focussed exploration and challenge of agencies assessments and compliance with safeguarding duties.

Most agencies provided evidence of good practice which included: website development; safeguarding training, raising awareness (including with the public and children) and adopting quality assurance frameworks and processes.

The conclusions of the chairs of the panels were that processes for safeguarding children are in place across the key agencies, but specific actions were identified for all individual agencies to take forward.

The peer challenge process also led to further follow up work with the Community Rehabilitation Company and District Councils in 2018/19 to gain assurance regarding their safeguarding compliance.

This Peer Challenge approach was found to be a positive experience and more informative than the previous document based approach. There was a good participation and contribution from partners in this process leading to a balance of challenge and support.

This 'Section 11' peer challenge process is to be considered as part of a two-year model subject to future safeguarding arrangements for Leicester, Leicestershire and Rutland.

In addition to its 'Section 11' assurance process the Board continued its approach to multi-agency auditing. During the year two safeguarding multi-agency case file audits were carried out focussing on the following priorities:

- Early Help (and step up to Social Care)
- Safeguarding Children with Disabilities

Two further audits focussed on domestic abuse and missing children were planned to take place, but were delayed due to a reduction in Board office capacity during the year. Audits on these themes will take place in 2018-19.

The audit process follows a Multi-Agency Case File Audit approach. All relevant agencies audit their practice and involvement in a set number of identified cases. Each case and the findings of each individual agency's audit of that case are reviewed in a multi-agency meeting to discuss practice and identify further single-agency and multi-agency learning.

The Early Help audit considered nine cases, seven in Leicestershire and two in Rutland and found:

- Gaps in supervision and management oversight led to drift in a number of cases
- Significant inconsistencies in practice including regarding:
  - Quality of record keeping
  - Use of chronologies
  - Quality of assessments
  - Quality of plans
- Inconsistency in the level of understanding regarding thresholds for step-up to Social Care
- A gap in understanding regarding neglect, reducing the effectiveness of the response to neglect in some cases



- Whilst there was some good practice with regard to hearing and responding to the views of children, the consideration of the voice of the child was not evident in many cases

Agencies have taken away these learning points to embed appropriate responses within their practice. Progress on actions from the Early Help audit will be reviewed by the LSCB in 2018.

The Children with Disabilities audit considered ten cases, seven from Leicestershire and three from Rutland and found:

- Multi-agency information sharing was good in most cases, but there were gaps regarding multi-agency co-ordinated assessment.
- Children's views were sought well in most cases, however how well they were taken into account in planning was variable.
- Some gaps evident in recording, management supervision and oversight,
- Many plans were not SMART
- Significant practice issues in a couple of cases that were immediately addressed by partners.

This audit followed an organisational assessment against standards identified within national Safeguarding Disabled Children practice guidance. This organisational audit found a number of areas for improvement for individual agencies and the multi-agency framework for safeguarding children with disabilities.

The recommendations from the organisational assessment and the audit together are as follows:

- a) The LSCB Task and Finish group representatives communicate the findings of the self-assessment and case file audits to their agencies and services;
- b) Each agency or service and the Leicestershire and Rutland LSCB develop their own improvement plan and contribute to a multi-agency improvement plan based upon the findings of the assessments and audit. Progress in implementing the multi-agency plan is then monitored by the LSCB
- c) The LSCB Task and Finish group meets on one or two more occasions to coordinate this work and the need for continuation of this group is reviewed at the end of the year within the new multi-agency safeguarding arrangements.
- d) Multi-agency procedures are reviewed in line with the findings of the organisational assessment, specifically considering the risks and needs relating to safeguarding children with special educational needs and disabilities, and specific responses.
- e) The LSCB training sub-group reviews the safeguarding training at all levels to ensure it effectively covers disabled children and consider broader multi-agency training needs regarding safeguarding children with disabilities.
- f) The LSCB considers a partnership awareness campaign regarding safeguarding children with disabilities
- g) Action is taken to integrate the EHCP assessment, care planning and review process to promote an holistic picture of the child's needs and reduce the number of meeting parents and young people need to attend;

- h) Further case file audits are undertaken on a six-monthly basis to assess if there are improvements in practice.

These recommendations provided the basis for action under this Board priority for 2018/19.

A multi-agency audit plan has been set in conjunction with the Leicester City LSCB for the coming year linked to the Board's priorities and national Joint Targeted Area Inspection themes.

### Learning and Improvement

#### **Serious Case Reviews and other Learning Reviews**

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

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

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

The Board completed one SCR in line with Working Together 2015 guidance during the year.

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

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

#### **Learning from reviews**

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

- Ensuring that families whose first language is not English are able to communicate with emergency services in crises situations.
- Denied/concealed pregnancies present a high risk to the babies, particularly at the time of birth, and have statistically significant worse outcomes
- The categories of harm for children in situations of parental domestic abuse need to be carefully considered to ensure all risk factors are considered.

- The importance and specific purpose of parts of the child protection process are not always well understood by professionals not regularly involved in child protection processes.
- The Board needs greater assurance that Child Protection plans are both SMART and robustly implemented
- All professionals should be supported in considering the impact on them of working with people who present as aggressive / challenging behaviour

The influence of this learning can be seen in the work of the Board in its priorities, Training and Development of Procedures this year and in priorities and areas for development for 2018/19.

The Safeguarding Case Review Subgroup monitors a master action plan containing recommendations and actions arising from all reviews.

### **Domestic Homicide Reviews**

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

One DHR was completed during the year. Two further potential DHRs were considered, one is being taken forward as a DHR locally and the other is being reviewed in another geographical area.

### **Development Work and Disseminating Learning**

The LSCB produces a quarterly newsletter in conjunction with the Safeguarding Adults Board, called Safeguarding Matters. This is used to disseminate key messages including from reviews and audits across the partnership and to front-line practitioners.

Learning has also been shared through Learning Events and the Trainers Network and single agency internal processes, including to GPs via the Primary Care Safeguarding Children Quality Markers (SCQM) tool.

The Board carried out a review of Safeguarding Matters and the Board website with practitioners across partners. Feedback included that Safeguarding Matters was a useful tool for keeping up to date with safeguarding learning, and also for disseminating safeguarding information across teams. Some areas for improvement were identified regarding design and highlighting items of interest for specific audiences.

The Boards website was felt to be easy to access and find relevant information on, but not so easy to find out what had been updated. Some areas for improvement were identified with regard to colours used and adding Board papers to the site.

### Child Death Overview Panel (CDOP)

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

The local CDOP, shared with Leicester City, reviewed all child deaths in the area and identified learning from these. In addition the CDOP supported by Public Health completed a review of cases over the past eight years where suicide or self-harm was categorised as the cause of death.

The review found the following common factors in local suicides:

- Social isolation
- Bullying (including online) (30% of cases)
- Autism, personality disorder and ADHD in (40% of cases)
- A number of the cases were struggling to cope with negative changes in their environment, for example separation of parents.

These were considered alongside national learning and the following recommendations identified:

- Raise awareness with schools-highlight the support services that are available to support students, parents and teaching staff.
- Work with front line staff, teaching staff and commissioners to highlight the potential impact on mental health of parental separation – particularly for those children with other risk factors
- Target resilience programmes on children and young people with diagnosed or suspected neurological developmental issues e.g. Asperger's/ Autistic Spectrum disorders and ADHD.
- Raise awareness of the potential impact of the pressure to succeed academically on mental health and wellbeing with both students and teaching staff.

The local CDOP produces its own annual report, which will be published in the Autumn of 2018.

### Co-ordination of and Procedures for Safeguarding Children

The Board shares its Multi-agency procedures with the Leicester City LSCB. Throughout the year the Board has reviewed and revised Multi-Agency Procedures in line with developments in practice and learning from reviews and audits.

The Board has developed a standalone procedure with regard to pre-birth safeguarding.

The Board updated the thresholds document for referral to children's services and has also revised procedures relating to:

- Reports for Child Protection Conference
- Whole family approach

- Historical abuse and allegations
- Contacts

The Board commenced work on a single Multi-Agency Referral form for all agencies to use to refer into children services front door for any of the Local Authorities in the area. This will be completed in 2018/19.

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

### Training and Development

The Competency Framework for Leicester, Leicestershire & Rutland, prepared in accordance with 'Working Together 2015' sets out minimum competencies and standards across the children's workforce and gives advice as to how practitioners can meet these requirements through learning, development and training, supported by briefing sessions, bespoke training, consultation and advice. This supports practitioners, managers and organisations to ensure a good level of competence across the partnership workforce with regard to safeguarding children.

This framework will be reviewed in 2018/19 in line with Working Together 2018.

The Boards Training and Development Work is led by the Interagency Training, Group, which is shared with Leicester City LSCB.

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

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

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

All agencies have been able to provide information to give assurance on training and competency during the year. At the end of the year training data was outstanding from the Clinical Commissioning Groups due to a reduced administration resource in the CCG safeguarding team. Earlier returns through the year had consistently given assurance, and the availability of data to provide this assurance from the CCGs will continue to be monitored by the LSCB.

During 2017/18 evaluation of the interagency training programme was undertaken by Voluntary Action LeicesterShire (VAL), on behalf of the two LSCBs.

During the year 67 themed training events took place within the LSCB Interagency programme across Leicester, Leicestershire and Rutland with 1047 attendees.

This was a 39% decrease in attendees on multiagency training compared with 2016/17. This was in line with 40% fewer places available due to running fewer large scale events than the previous year.

In addition 25 LSCB funded Essential Awareness training sessions for the voluntary and independent sector offering 625 spaces in total supporting consistency in knowledge and skills across the wider workforce across Leicester, Leicestershire and Rutland. These were well received and almost all courses were full.

Following introduction of a charging policy for no shows in 2016/17 the number of no-shows has reduced further by 25% this year to 106, in addition the number of cancellations halved to 71.

The evaluation includes a three-month follow-up of attendees to support the assessment of the impact of training and development on practice.

Analysis of this feedback continues to demonstrate sustained improvements in knowledge, skills and confidence in key subject areas and continues to provide a greater insight to the ways in which professionals are working together, sharing information and taking personal responsibility in respect of safeguarding children and young people

Participants are asked to identify post training actions. There was a continued shift from cascading learning to specific practice related actions from previous years' results. At the three-month follow up 82% of participants reported they had implemented the actions they identified in training at least in part. Where these were not able to be implemented, the key issue was reported as relating to capacity.

Capacity of workers across the children's workforce is a barrier to learning, because it prevents workers from attending training and/or committing to the learning when they are there. 'Other work priorities' was given as a non-attendance reason in 42% of cases with only sickness at 59% being higher.

The Board undertook some development work with regard to its approach to training during the year, including developing a training strategy for 2018/19 and agreeing a transfer of the support function from VAL to the Leicester City Safeguarding Board Office.

The Board will pause training for April to July 2018 while the support function is transferred to Leicester City Safeguarding Board Office.

An LLR Sharing Learning from Reviews: Research in Practice proposal has been accepted to look at disseminating learning from reviews in a timely way, with a 'cascade' pack of information for safeguarding leads, including a synopsis of the case, detail of the learning, links to research and relevant articles. This information can then be shared widely within agencies. This will be implemented in 2018/19.

The LSCB would like to express its appreciation to organisations that have contributed to the partnership training programme through trainer time or venues. The estimated value of the in-kind contribution to the programme from all agencies is over £10,000.

DRAFT

## **Leicestershire & Rutland SAB and LSCB Finance 2017-18**

	£
<b>SAB Contributions</b>	
Leicestershire County Council	52,798
Rutland County Council	8,240
Leicestershire Police	7,970
Clinical Commissioning Groups (West Leicestershire and East Leicestershire & Rutland)	18,386
University Hospitals of Leicestershire NHS Trust	7,970
Leicestershire Partnership NHS Trust	7,970
<b>Total SAB Income</b>	<b>£103,334</b>
<b>LSCB Contributions</b>	
Leicestershire County Council	84,003
Rutland County Council	52,250
Leicestershire Police	43,940
Clinical Commissioning Groups (West Leicestershire and East Leicestershire & Rutland)	55,760
Cafcass	1,100
National Probation Service	1,348
Derbyshire, Leicestershire, Northamptonshire and Rutland Community Rehabilitation Company (Reducing Re-offending Partnerships)	3,000
<b>Total LSCB Income</b>	<b>£241,401</b>
<b>Total Income (LSCB &amp; SAB)</b>	<b>£344,735</b>
	£
<b>SAB and LSCB Operating Expenditure</b>	
Staffing	214,966
Independent Chairing	22,500
Support Services	30,500
Operating Costs	13,500
Case Reviews	16,290
Training Co-ordination and Provision (LSCB)	55,641
<b>Total SAB &amp; LSCB Operating Expenditure</b>	<b>£353,397</b>
<b>Deficit</b>	<b>£8,662</b>
<b>LSCB &amp; SAB Reserve account at end of year</b>	<b>£51,268</b>



### **Business Plan Priorities 2018-19**

From analysis of current and emerging issues the following have been identified as our priorities for 2018-19:

<b>Development Priority</b>	<b>Summary</b>
1. Partnership Transition	Influence the development of new multi-agency safeguarding arrangements.
2. Multiple Risk Factors	The impact of multiple risk factors on children is recognised, understood and responded to across agencies.
3. Safeguarding Children – Access to Services	Ensure the pathways for access to services for safeguarding children are robust and effective
4. Child Exploitation - (Child Sexual Exploitation, Trafficking, Missing and Gangs)	Children at risk of exploitation are effectively safeguarded.
5. Safeguarding Children with Disabilities	Improve the approach to safeguarding children with Special Educational Needs and Disabilities.

Action plans are in place for each of these priorities.

For 2018-19 there are no specific joint priorities with the Leicestershire & Rutland Safeguarding Adults Board though joint working will be promoted where possible.

## **Partner Updates**



**West Leicestershire**  
Clinical Commissioning Group



**East Leicestershire and Rutland**  
Clinical Commissioning Group

Leicestershire and Rutland and West Leicestershire Clinical Commissioning Groups (CCGs) are committed to the promotion of safeguarding children, supporting the work of the safeguarding board and to support staff and partners to undertake their safeguarding responsibilities.

In 2017-18 the CCGs have continued to monitor evidence and assurance from commissioned health services. As Commissioners of local health services West Leicestershire and East Leicestershire and Rutland Clinical Commissioning Groups are required to evidence compliance with *NHS England (NHSE) Accountabilities and Assurance Framework Safeguarding Vulnerable People in the NHS (2015)*. This includes the CCG receiving evidence and assurance from commissioned health services about the quality of the safeguarding arrangements in relation to key adult & children (including Looked After Children) safeguarding requirements, Deprivation of Liberty standards (DoLs) and Mental Capacity Act legislation, and to identify areas for development or where additional assurance is required. As part of this process all CCG commissioned health services are required to submit the CCG Safeguarding Assurance Tool (SAT) together with supporting evidence.

The CCGs have also demonstrated their support to the promotion of the child safeguarding agenda by supporting and/or coordinating a number of initiatives and policy developments.

The CCGs Safeguarding team is coordinating across Leicester, Leicestershire and Rutland the roll out of the NHS England Child Protection – Information Sharing (CP-IS) programme. This is a nationwide information sharing solution that identifies children with Child Protection Plans or Looked After Children who visit NHS unscheduled care settings such as accident and emergency wards, ambulance service, maternity, minor injury units, out of hours and walk-in centres. The outcome of this means that when a child attends a NHS unscheduled care setting the CP-IS alert is shown on the child's medical records about the child's safeguarding or LAC status. The CP-IS alert is then automatically sent to inform the child's social worker about the geographical location of the Out of Hours or Urgent Care/Emergency Department.

The CCG endorsed the work of the CCG Domestic Violence Health Group and the production of the Domestic Violence and Abuse Policy that has been disseminated to all GP Practices across Leicestershire and Rutland.

In addition UAVA have been commissioned by the CCGs to deliver Managing Disclosures of Domestic Abuse briefings to all GP Safeguarding Leads. UAVA have also provided Train the Trainer sessions to all members of the CCG Safeguarding Team to enable the team to continue to deliver the Domestic Abuse briefing sessions to GP's once UAVA have delivered their CCG 6 commissioned sessions.

The CCG Safeguarding Team led the arrangements for the Safeguarding Health Network- a quarterly meeting of safeguarding leads from all of the CCG commissioned services. Leicestershire & Rutland Safeguarding Children Board information has been cascaded to the Safeguarding Health Network that includes NHS and Non NHS Providers.

Messages from Serious Case Reviews and Domestic Homicide Reviews have been cascaded to GP's via the Primary Care Safeguarding Children Quality Markers Tool (SCQM). The CCG Safeguarding Team promotes GP compliance with recommendations arising from SCRs and Alternative Reviews through the delivery of GP Safeguarding Children Training Programme and discussions at the GP Safeguarding Forums.

The CCGs' commitment to safeguarding and working in partnership will continue into 2018/19.



Leicestershire County Council children and family services continue to make progress against the continuous improvement plan 'Road to Excellence 2017 to 2020.' The plan is closely monitored and driven by the senior leadership team and six-monthly progress reports are presented to Overview and Scrutiny Committee. These show a clear direction of travel and improvement that focuses on improving the experiences and outcomes of children in need of help and protection, children looked after and care leavers. The plan incorporates developments in line with recommendations from Ofsted following their inspection in 2016.

The plan is based around the four building blocks of:

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

And is underpinned by four behaviours for all staff:

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

The Assistant Director and Heads of Service lead a monthly meeting with service managers and all child care managers to focus on practice development and performance.

The Council invested to enable a significant increase in staffing to support the improvement journey. Substantial work on recruitment and retention has taken place

over the last twelve months and despite the national challenges of recruitment in social work Leicestershire is beginning to see steady growth. A number of staff have been recruited across the teams although many are newly qualified.

Work has taken place in First response and an in-house inspection by Senior managers in December 2017 and an independent mock inspection in May 2018 demonstrated improvements in this key area. Practice Standards to support the 'Growing Quality in Children's Social Care' have been launched in all areas and audit and improvement work is supporting the embedding of these standards.

The establishment of the Practice Excellence arm of the service to deliver on embedding Signs of Safety, quality assurance and improvement, and practice is seeing a positive impact. The ASYE (Assessed and Supported Year in Employment) programme for newly qualified social workers has been revised and strengthened and an ASPIRE programme developed for new team managers and aspiring senior practitioners. A progression framework for social workers and a learning offer have been agreed.

The second annual social work conference took place in June with a focus on 'Making a difference to children and families'. The event celebrated good practice.

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

Caseload number and workloads are closely monitored. In key areas of the service, namely First Response, Children in care, CSE Hub, disabled children workloads are now in line with our caseload standard. There is ongoing work to realign the children protection and strengthening families teams to ensure reasonable workloads across all of these teams.

Performance has improved in key areas: timeliness of response at the Front Door; number of assessments completed and of these the number completed within 45 working days; quality and compliance of strategy discussions/meetings; permanence planning; contact with care leavers and care leavers in suitable accommodation. There is an improving picture regarding repeat child protection plans.

Participation work with young people including advocacy work to support young people in their case conference and work with the children in care councils and care leavers is strong.

The continued work in line with the 'Road to Excellence' will support safeguarding children and young people in Leicestershire by championing and embedding consistently high quality practice and management oversight. The improvement and performance culture and framework will support this and evidence impact for children, young people and their families.

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

A stable and effective operational and portfolio holder leadership is in place which ensures services continue to strive for better. There is committed political support expressed through the continued investment in a broad range of children's services. Previous instability in social care teams has meant that some children have had several changes of social worker. Successful recruitment and retention strategies have led the service to a more stable position. The service is sufficient and caseloads are manageable. We have few vacancies within children's social care and we have significantly reduced the use of agency staff. Small focused social work teams enable close working and shared learning; social workers know their children well. Social Work and Early Help teams are located together which enables professional dialogue and good practice to be shared.

The integrated front door to children's services, including a Special Education Needs (SEND) pathway is established, understood and used appropriately by our partners. We have worked with partner agencies and provided a training programme to our schools, health service, police and Ministry of Defence staff which is aiding an appropriate and timely response to concerns raised.

We now have a fully embedded children's services Performance and Quality Assurance Framework. Monthly audits assure us that children are safe and protected. Managers and senior leaders have a clear line of sight to the quality of front line practice. Performance with regard to assessments and reviews is within timescales and outcomes for Children Looked After, Care Leavers and Children with SEND are good across education, employment, placements and accommodation.

Our workforce development plan reflects the learning from our Quality Assurance and Performance processes and from feedback from children and families. Signs of Safety and relationship-based practice is embedded as our model of intervention with families across service areas. Our training and development programme is aligned to cover the key skills and attributes necessary moving forward into accreditation. We have embedded the use of the neglect toolkit and have introduced a toolkit with families where the trilogy of risk is evidenced.

We have developed a strong focus on reflective supervision, with the majority of staff being satisfied with its quality. There is a good range of training and learning opportunities that is also well received. This ranges from staff conferences and practice learning events based on emerging issues to bespoke training courses. We run bi-monthly multi agency learning from Serious Case Reviews (SCR) sessions.

Decisive action is taken to escalate concerns where necessary improvements and timescales are not made for children in care and our care leavers. An effective multi-agency Children Looked After (CLA) and At Risk Children (ARC) Panel agrees threshold being met for proceedings, Public Law Outline (PLO), and reviews all those on Supervision Orders. This panel has prevented drift on cases. We have

appointed a permanent Head of the Virtual School who is an effective point of contact for schools and has good oversight of our CLA attainment. The Virtual Head ensures that each young person placed out of county has an identified worker who liaises with schools and tracks progress.

We have focused on ensuring our children at risk of sexual exploitation are protected through effective multi-agency arrangements. The internal 'Exploitation Group' considers all children at risk of exploitation and there are strong links with the multi-agency CSE Hub.

We have made significant improvements in our fostering service, aligning all areas to the Signs of Safety approach and use all the Coram/Baaf materials in our assessments. We have a proactive and supportive independent panel that are engaged with Rutland carers. There is a strong recruitment campaign to improve in-house foster carer sufficiency with a strategy in place to increase the local foster carers by almost a third which puts us in line with expected national standards. 'Staying Put' is embedded within our fostering service and we have completed our Local Offer for Care Leavers recently to include new statutory provision up to 25 years. We will build on our existing resource such as our skilled foster carers, such as completing life story work and supervising family time and extend our fostering service to other Local Authorities.

We have increased our social worker capacity in our children with disabilities team and reviewed our 'offer' for children with disabilities. Multiagency audits of safeguarding children with disabilities (February 2018) rated all good and outstanding.

We are reviewing our domestic abuse offer including toolkits and training ensure that services are accessible and timely in the Rutland area for victims and perpetrators but also the children involved in such experiences to improve outcomes for them.

We have strengthened our Participation and Engagement Framework to ensure we have a system of continuous feedback from service users which informs our practice and supports our service design and review. Our families and foster carers report seeing positive changes and communication and support strengthening.

We have completed our 2017/18 'Next Steps' Action plan, which has addressed the 17 recommendations from the 2017 Ofsted report. The learning from that and from our Peer Challenge May 2018 has enabled us to create a comprehensive Children's Services Continued Development Plan 2018/ 2020 which will provide leadership direction and clarity in our service plans supported by a robust needs assessment and a coherent commissioning strategy.

Concise recording and analysis are key areas for further development in the coming year alongside improving the recording of the lived experience for children and young people. Whilst we have good outcomes we are not always good at recording how we achieved them. We will continue to build on SMART planning and monitor how plans are progressed, we will use data to inform practice further and ensure robust Core Groups are being held to progress plans effectively.

We will continue to strengthen links across the local authority, with elected members, children and young people's fora and the whole partnership system to ensure the conditions for excellent partnership working and practice flourish. Partner agency attendance at Child Protection Conferences continues to be an area of concern; some agencies are not attending as we would like and this we continue to address via the LSCB.



Children are at the heart of the strategic priorities of Leicestershire Police which include Child Sexual Exploitation and Abuse, Sexual Offences and Domestic Abuse. Her Majesty's Inspectorate of Constabularies and Fire and Rescue Services (HMICFRS) in their Child Protection visit in 2017 concluded, 'the force continues to demonstrate a strong commitment to reviewing, improving and implementing changes to its services and to prioritising child protection.'

The Force has continued to demonstrate its commitment to multi-agency working taking leading roles in developing executive structures to respond to Child Sexual Exploitation, Domestic and Sexual Violence and Abuse and children linked to 'Urban Street Gangs.' The Force takes an active role in all Safeguarding Children Board activity and has committed an additional Inspector post to support this work.

The Force has invested significant funds to renovate the Child victim suite in consultation with local children. The Force has continued to develop a culture of seeing the child in any incident by creating a 'Childs Voice' video which is supplemented by a 'Think victim' booklet which contains specific advice in respect of Children.

The Force has worked with partners to strengthen the combined assessment of CSE concerns through a multi-agency daily management meeting, weekly partnership meeting and monthly strategic meeting. Leicestershire Police have redesigned their response to missing people. The Missing Persons Operational Team provides consistency of assessment, whilst the Missing Persons Engagement Team work with partners to reduce the risk to people who repeatedly go missing; children making up the majority of these.

The Child Referral Team reviews all public protection notices submitted by frontline officers and staff. Through a re-structure and a change in processes it is now able to undertake all strategy discussions on behalf of the Force including those relating to sexual offences and Domestic Abuse. Part of the process redesign included the audio recording of S.47 strategy discussions; HMICFRS described this practice as 'innovative' and 'good practice.'



HMICFRS, during their re-visit in December 2017, graded over twice as many child protection cases as good, and nearly half as many as inadequate compared to their original inspection in January 2017. Despite the improvement, there is clearly more work to be done. HMICFRS were assured of a continuing commitment to make further improvements.

The Forces Paedophile Online Investigation Team (POLIT) has joined the newly developed Digital Hub. Enhanced processes within the hub and in POLIT, has led to more people who view indecent images of children being identified and more children being safeguarded.

The Force is committed to meaningful engagement in Child Protection Conferences, particularly pre-birth and initial conferences. Demand in this area has more than doubled. Although resources have been increased, those which are attended have had to be prioritised; all receive a report in respect of Police information about the family. The Force is chairing a multi-agency group tasked to look at alternate options to attendance, including video conferencing.

The Force is developing a Children's Strategy to ensure the voice of the child is incorporated into every strand of policing. The Police and Crime Plan 2017-21 includes a focus on specific areas where children are affected.

The Force is working with Local Authority partners to improve the provision of appropriate adults for children in custody and to reduce the amount of children kept in Police custody overnight due to a lack of appropriate accommodation.

The Force is undertaking a project to create a Safeguarding hub encompassing Children and Adults. Building upon the innovative processes adopted by the Child Referral Team, and the multi-agency CSE team, it will also include Domestic Abuse support, MARAC, Adult Vulnerability and Mental Health. It will allow the holistic review, research and assessment of cases, ensuring the response considers the most appropriate response to often complex situations. Some of the existing teams include staff from partner agencies. It is hoped the aligned hub will facilitate further co-location and partnership working.

Leicestershire Police will maintain a regime of internal audits and will engage with multi-agency and external reviews in order to continually improve the service to provide the best outcome for children and families.



We successfully introduced a hospital 'independent domestic violence advisor' (IDVA) into the Emergency Department at the Leicester Royal Infirmary. The IDVA has been instrumental in supporting the team to secure refuge for a woman who had no recourse to public funds due to her circumstances. The IDVA has also ensured



that a number of patients have received specialist domestic abuse support before leaving the department.

We transferred all of our safeguarding records for maternity, children and adults onto an electronic database to ensure data is kept in one place. This means that the team have ready access to cases and information, to enable us to cross reference information that the Trust holds on safeguarding concerns.

We delivered accredited PREVENT WRAP training to over 7,475 staff as part of a plan to train 85% of clinical staff by June 2018, as part of our NHS England contractual requirements.

We completed IT preparatory work to support the implementation of the Child Information Sharing Project (C-PIS) by April 2018. This national programme will provide real-time alerts about children who are known to be Looked After or on a Child Protection Plan.

We have worked with safeguarding partner agencies to complete 5 multi-agency audits. In child safeguarding we were able to demonstrate that we have effective processes to share information about children considered at risk with police and social care.

We have promoted the use of the NHS England Safeguarding App. This means that staff using the App have immediate access to consistent information about safeguarding and the wider agenda such as Mental Capacity Act.

In 2017 the Trust's safeguarding assurance self-assessment and subsequent CCG review identified the following developmental areas:

- To improve compliance with PREVENT WRAP Training
- To explore further methods to capture the 'Voice of the Child'
- Finalise the revised UHL Safeguarding Supervision Policy and Management of Allegations Against Staff Policy.

In response to this the following work has taken place –

- A revised training strategy for PREVENT training was developed together with a monthly performance monitoring tool, to ensure that relevant staff attend PREVENT training
- In conjunction with the Patient Experience Team and Women's and Children's CMG, further data was collated to demonstrate how the Voice of the Child is captured
- UHL Safeguarding Supervision Policy has been re developed in line with changes in practice. The Trust has also developed and updated policies in relation to the "Management of allegations against staff".

Due to the changing nature of safeguarding work the complexity of cases, together with the available resources to manage cases will be reviewed taking into account referral patterns and activity data. An option appraisal will be completed during 2018 to determine the required resource and team structure to deliver the future safeguarding service.



The NPS is committed to protecting the right of a person, whether an adult or a child, to live in safety, free from harm, abuse and neglect. It recognises that safeguarding is everyone's responsibility and that children are best protected when professionals are clear about what is required of them individually and how they need to work together. The NPS national policy, "Safeguarding and Promoting the Welfare of Children" clearly describes our work, its links to child safeguarding, and how we meet our Working Together Section 11 duties.

The National Probation Service continues to engage positively with the LSCB and with partnership agencies.

In the past year, significant work has gone into further developing the safeguarding processes in an online repository of process maps, documents, policies and guidance called EQuIP - Excellence and Quality In Processes. This outlines to staff how to make safeguarding checks, referrals, child protection conference responsibilities, and provides aide memoirs and toolkits. It will be used to inform Safeguarding Quality Assurance tasks that will be scheduled in coming 12 months. Additionally, a new Practice Improvement Tool has been developed to quality assure safeguarding referrals.

In relation to training, all NPS staff, regardless of role, have to complete the Child Protection and Safeguarding Children, and the Domestic Abuse e-learning modules. All front line staff who supervise or have contact with offenders also have to complete the two day Safeguarding Children face to face training.

As of April 2018, no staff have the e-learning outstanding, and only just under 10% of staff still require the face to face input. Other training relating to safeguarding children has continued to be offered in the past year such as Working with Sex Offenders, Domestic Abuse. Whilst additional training offered by partner agencies/local authority has been offered to, take-up has been low due to workload demands; this is acknowledged as action required for the coming year.

LLR NPS Senior Management have made efforts to maximise attendance at LSCB Board Meetings, with additional involvement in a subgroup review of Child Protection Conferences and Appeals, and a pending subgroup review of quoracy, partnership representation and contribution to CP conferences. Serious incident information requests and data trawls have been returned within timescales.

Front line NPS staff continue to manage high risk violent and sexual offenders, some of whom will pose a risk to children. Staff make referrals, with NPS management support and oversight, where safeguarding concerns arise. There is room however to develop our staff's understanding and links with the Early Help aspect of Children's Social Care so that we are fully utilising the "One Front Door" approach to address the needs of all children of service users under NPS' supervision.

The challenges in the year ahead for NPS remain high workloads; with the Leicestershire Cluster being consistently amongst the highest workload in the Midlands region. Additionally, there has been a large intake of staff, with more trainee Probation Officers joining later in the year. Whilst this will hopefully alleviate some of the workload pressure in the future, in the interim two years it presents further workload challenges whilst these new staff are developed, supported and trained.

NPS LLR remain committed to delivering a quality service, and learning from our practice and partnerships.



Safeguarding touches everyone's lives at some time, including the lives of the service users and staff of Leicestershire Partnership NHS Trust (LPT). Many of our service users have experienced abuse of some kind, or may be at risk of experiencing abuse either now or in the future. Few of these service users exist in isolation, which is why in 2017 LPT have continued to build on the work to adopted a 'Whole Family' approach to safeguarding, including moving to a position of a Whole Family safeguarding team instead of separate Adult and Children team.

Training and information for staff has been adapted in relation to Individual and organisational responsibilities and in line with promoting a Whole family approach. Likewise, LPT has continued to work towards improving health outcomes for Looked after Children (LAC) and supporting the Child Death Overview Process (CDOP).

The PREVENT Statutory Duty was introduced in 2015, placing specific statutory obligations on health organisations and other partners to support the protection of individuals vulnerable to exploitation by extremist groups. Moving forward LPT will have a Prevent Lead and Prevent co-ordinator as part of the Whole Family Safeguarding Team, who will ensure compliance with statutory responsibilities including training delivery.

Given the vulnerabilities of those we work with in LPT, we must continue to focus on 'Early Help' and Prevention and lesson learning in 2017-18 in order to prevent the risk of Abuse to Vulnerable Adults and Children in contact with LPT services.

LPT is closely monitored in relation to safeguarding activity both internally and externally to ensure the organisation is compliant with statutory requirements placed upon health organisations.

Derbyshire, Leicestershire, Nottinghamshire & Rutland Community Rehabilitation Company (DLNR CRC) is responsible for the supervision of low and medium risk of harm adult offenders, the provision of a range of rehabilitative interventions for CRC and National Probation Service (NPS) cases and the delivery of 'Through the Gate' (TTG) services in Resettlement Prisons. This work involves working with adult offenders who are both perpetrators of abusive behaviour and individuals who present with multiple vulnerabilities

Safeguarding is a core statutory function of DLNR CRC. Risk assessment and risk management is one of its key activities, driving all its activities with service users. Safeguarding considerations are considered within assessment and risk management plans at all stages. DLNR CRC use specialist risk assessment tools such as Offender Assessment System (OASys) and Spousal Assault Risk Assessment (SARA) to support defensive decision making across all areas of risk. All operational staff are trained in safeguarding as part of their core training and DLNR CRC has a competency framework to ensure that all cases are allocated to appropriately trained staff on the basis of identified risk and need.

DLNR has quality assurance mechanisms to support the maintenance of effective practice standards. All team managers within DLNR CRC attend 'Quality Days' on a monthly basis during which case records are sampled and quality assured. DLNR CRC also have an Internal Audit team who undertakes themed audits across DLNR. DLNR CRC are also subject to audits through Her Majesty's Prison & Probation Service (HMPPS) contract management team and HM Inspectorate of Probation (HMIP).

## CABINET

16 October 2018

### CHILDCARE SUFFICIENCY ASSESSMENT REPORT 2017-2018

#### Report of the Strategic Director for People

Strategic Aim:	Creating a brighter future for all	
Key Decision: No	Forward Plan Reference: FP/180418	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr D Wilby, Portfolio Holder for Lifelong Learning, Early Years, SEND, Inclusion	
Contact Officer(s):	Gill Curtis, Head of Learning and Skills	01572 758460 gcurtis@rutland.gov.uk
	Tim O'Neill, Strategic Director for People and Deputy Chief Executive	01572 758402 toneill@rutland.gov.uk
Ward Councillors	N/A	

#### DECISION RECOMMENDATIONS

That Cabinet:

1. Notes that there is currently sufficient childcare across Rutland to meet the requirements of parents and carers and that the Learning and Skills Service is undertaking a range of planned activities to manage the market and maintain capacity within the system.

## **1 PURPOSE OF THE REPORT**

- 1.1 All Local Authorities have a statutory duty under the Childcare Act 2006 to secure sufficient childcare, so far as is reasonably practicable, for working parents, or parents who are studying or training for employment, and to complete an annual report which assesses the sufficiency of childcare in the local authority area and identifies gaps in provision. The assessment must also consider whether sufficient childcare is available to meet the needs of disabled children. This assessment must be published on the County Council website.
- 1.2 An assessment of sufficiency has been made through review of information gathered which includes the reported need for childcare and the amount of childcare available. This includes feedback from early years' providers, parents and local businesses.
- 1.3 This report aims to provide Cabinet with assurance that there is currently sufficient childcare to meet the requirements of parents and carers.

## **2 BACKGROUND AND MAIN CONSIDERATIONS**

- 2.1 The Childcare Act 2006 gives local authorities a key role in shaping the childcare market in their area. Working with providers from private, voluntary, independent childcare sectors, academies and local authority maintained schools, the local authority aims to create a strong, sustainable and diverse childcare market that meets the needs of Rutland parents and carers.
- 2.2 Rutland County Council identifies available childcare spaces through completion of the Annual Childcare Sufficiency Assessment which reflects the DfE Early Education and Childcare statutory guidance for local authorities September 2014. Updated guidance, which takes account of the Childcare Act 2016, was released in March 2017 and came in to effect from September 2017; this will inform Rutland's Annual Childcare Sufficiency Assessment for future years.
- 2.3 Rutland Childcare Sufficiency Assessment 2017-18 is based on information gathered and evaluated by Rutland County Council's Early Years' Service from September 2017- March 2018. All relevant data is used to compile the report and inform recommendations in relation to the sufficiency of early years and childcare provision in Rutland and informs the Childcare Sufficiency Action Plan 2018-19.
- 2.4 Whilst the Childcare Act 2006 requires local authorities to ensure there is sufficient childcare to meet the needs of parents who require childcare, in Rutland the focus is not just about childcare sufficiency but is also aims to:
  - 2.4.1 Make sure this childcare is accessible and affordable so that parents have the opportunity to take up or remain in work or to undertake education or training to obtain work.
  - 2.4.2 Make sure it is of consistently good quality so that it benefits the child and contributes to the child's readiness for school
- 2.5 When considering capacity and sufficiency of childcare, it is important to separate early education and childcare for under 5's from childcare provided either as 'wrap-around' or 'out-of-school/ holiday care'. Wrap-around care refers to childcare that is offered in addition to the school day and may consist of before or

after-school clubs or holiday clubs; this may be offered regularly throughout the year or as sessions focused on a specific area such as a summer holiday sports event.

## 2.6 Early Years Childcare:

- 2.6.1 As an outcome of the Childcare Assessment, it has been identified that, at the time of the assessment, there was sufficient Early Years childcare. However, it must be noted that the majority of parents and carers identified themselves as from the Oakham area. It is recognised that this does not offer a sufficiently robust evaluation of parental views of availability and therefore the Learning and Skills Service will undertake a more pro-active approach to gathering parental views. This will include arranging with early years settings and schools out of the Oakham area to hold face to face discussions with parents to gather views. Additionally, opportunities will be explored with larger businesses, including Rutland County Council, to increase the response from working parents.
- 2.6.2 The introduction of the 30 Hour Extended Entitlement (30HEE) September 2017 has not identified the need for additional childcare places. This is because a majority of the children accessing the 30 HEE were already accessing nursery provision. At 14<sup>th</sup> September 2017 (2 weeks in to the new arrangements) there had been 177 successful parent applications for the Extended Entitlement; at a similar point in 2018 the successful applications has risen slightly to 191.
- 2.6.3 The Early Years Provider Hub software, Open Objects, has been available to the Early Years' Service since the autumn and provides a process to accurately allocate funding. The release of a new module (August 2018) within Open Objects will enable the Early Years' Service to maintain a more up to date picture of sufficiency across Rutland in real time, and enable a more responsive approach to any potential pressures.
- 2.6.4 It is recognised nationally that the introduction of the 30HEE has the potential to reduce income for childcare providers because, prior to this being introduced, parents were often being charged at a higher rate than is received through the government funding.
- 2.6.5 The Learning and Skills Service is working with Early Year providers within a Schools Forum sub-group working party to support the viability of provision across Rutland. The group aims to identify ways to deliver cost efficiencies and explore options for increasing income. Additionally, Rutland County Council Economic Development Team is supporting early education businesses in identifying additional funding opportunities such as government backed small business loans or grants where these would be appropriate.
- 2.6.6 Two new early years provisions are due to open this autumn. The development of a robust business proposal, which identifies financial sustainability of provision as well as high quality early education, has been key within the activity in determining suitable providers.

## 2.7 Wraparound and Holiday Childcare:

- 2.7.1 The Learning and Skills Service has gathered information outlining wraparound and holiday childcare provision across Rutland. As an outcome of revised

methodology, a more systematic approach to gathering information on the wraparound care available has been developed. Information, particularly related to holiday childcare, is now regularly updated on the Rutland Information Service (RIS) website.

- 2.7.2 Plans to address issues or concerns identified through the Childcare Sufficiency Assessment are included in the Action Plans within the Report. Additionally, a focused programme is currently being developed by the Learning and Skills Service to further extend childcare options across Rutland which will commence within the coming financial year. The intention is for high quality wraparound and holiday care to be available to meet parental need with the intention to expand availability across Rutland.

### **3 CONSULTATION**

- 3.1 Consultation is undertaken annually through the Parental Childcare Assessment Survey. Additional options for further consultation are planned for 2018-19.

### **4 ALTERNATIVE OPTIONS**

- 4.1 The childcare assessment is a statutory requirement and therefore if it was not undertaken the Council would not be undertaking its statutory functions and could be open to legal challenge.

### **5 FINANCIAL IMPLICATIONS (MANDATORY)**

- 5.1 The Childcare Sufficiency Assessment and subsequent planned actions are included within the annual Learning and Skills budget; there are no further financial implications anticipated.

### **6 LEGAL AND GOVERNANCE CONSIDERATIONS (MANDATORY)**

- 6.1 The Childcare Act 2006 places specific duties on the local authority to secure sufficient childcare and to carry out a Childcare Sufficiency Assessment.
- 6.2 Failure to secure any shortfall in childcare provision highlighted by the CSA would render the Council liable to a challenge that it was not meeting its statutory duties under the Childcare Act 2006.

### **7 DATA PROTECTION IMPLICATIONS (MANDATORY)**

- 7.1 A Data Protection Impact Assessments (DPIA) has been completed. No adverse or other significant risks/issues were found. A copy of the DPIA can be obtained from Ms Gill Curtis.



## **8 EQUALITY IMPACT ASSESSMENT (MANDATORY)**

- 8.1 An Equality Impact Assessment (EqIA) has been completed. No adverse or other significant issues were found. A copy of the EqIA can be obtained from Gill Curtis, Head of Learning and Skills.

## **9 COMMUNITY SAFETY IMPLICATIONS (MANDATORY)**

- 9.1 No community safety implications have been identified through the Childcare Sufficiency Assessment.

## **10 HEALTH AND WELLBEING IMPLICATIONS (MANDATORY)**

- 10.1 Rutland County Council has a statutory duty under the Childcare Act 2006 to secure 'as far as is reasonably practicable' sufficient childcare to meet the requirements of working parents/carers, or parents/carers undertaking education or training that will lead to work.

## **11 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

- 11.1 Under the Department for Education's (DFE) '*Early Education and Childcare: Statutory Guidance for Local Authorities*', local authorities should report annually to elected council members on how they are meeting their duty to secure sufficient childcare and make this report available and accessible to parents.
- 11.2 This report provides elected members with this information and identifies that, at the time of the Childcare Sufficiency Assessment being completed, there were sufficient places available. Routine assessment and reviews will continue be undertaken by the Learning and Skills Service to ensure sufficiency is maintained and, should a potential pressure be identified, positive action will be taken with existing and potential providers to minimise the impact on parents and carers.

## **12 BACKGROUND PAPERS**

- 12.1 There are no additional background papers to the report

## **13 APPENDICES (MANDATORY, SIMPLY STATE IF THERE ARE NO APPENDICES)**

- 13.1 Appendix A – Rutland County Council Childcare Sufficiency Assessment Report 2017 - 2018

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

# Annual Childcare Sufficiency Assessment Report

2017 - 2018





# Annual Childcare Sufficiency Assessment Report

## Contents

- 1** Rationale for Childcare Sufficiency Assessment
- 2** The Rutland Context – Early Education and Childcare
- 3** The Rutland Context – Wraparound and Holiday Childcare
- 4** The Quality of Childcare in Rutland
- 5** The Parental View of Childcare in Rutland
- 6** The Local Business View of Childcare
- 7** Conclusion
- 8** Appendix

Please note any reference to 'parents' in this report reflects parents, carers or those with parental responsibility for children.



# Rationale for the Childcare Sufficiency Assessment



Rutland County Council is required by law to report annually to Elected Council Members on how they are meeting their duty to secure sufficient childcare, and to make this report available and accessible to parents, under the Childcare Act 2006.

Having sufficient childcare means that families are “as far as is reasonably practicable” able to find childcare that meets their child’s early education and welfare needs and enables parents to make a real choice about work or training that may lead to paid employment.

An assessment of sufficiency has been made through review of information gathered which includes the reported need for childcare and the amount of childcare available. This includes feedback from early years’ providers, parents and local businesses. Assessment of childcare sufficiency is used to develop a Local Authority strategic action plan to be implemented 2018-19, and to direct actions taken by the Learning and Skills Service to support and develop the local childcare economy in partnership with current and potential early education and childcare providers.

The data is based on evidence gathered during the period from September 2017 – May 2018 and, more specifically, through the Childcare Sufficiency Survey undertaken in April and May 2018.

## Objectives:

To identify any childcare gaps that may exist in sufficiency in our area and consider how these gaps may be closed in the future.

We will look at the following categories of Childcare in Rutland:

- Early Years Childcare for non-funded children
- Funded Education for 2 year olds
- Universal funded education for 3 and 4 year olds
- The 30 Hour Extended Entitlement for 3 and 4 year olds
- Childcare before and after school
- Childcare during school holidays
- Childcare for children with special educational needs and disabilities
- Childcare during atypical hours

## The Rutland Context – Early Education and Childcare

### The Demand for Early Years Childcare

Retrospective birth data for Rutland, which is tracked year on year when this becomes available, provides a proxy indicator of trends in potential demand for early education and childcare. The birth rate figures show a little variation over time, which reflects a relatively stable demand for childcare. However, population change through building development and military redeployment may impact on future figures. Therefore, information gathered through the annual Childcare Sufficiency Assessment, alongside more regular consultation with providers, offers a more responsive indicator of actual need. The Local Authority works in partnership with the MOD to identify numbers of children moving into and out of Rutland to ensure childcare sufficiency needs are identified and addressed early.

Retrospective Live Birth Data 2008-2017			
Calendar Year	Actual Birth Data	% Difference year on year	Reception Class Cohort
2008	341	3.3	373
2009	333	-2.3	395
2010	307	-7.8	407
2011	291	-5.2	377
2012	314	7.9	386
2013	318	1.3	408
2014	291	-8.5	396
2015	335	15.1	412
2016	339	1.2	431
2017	326	-3.8	414

There was a slight decrease in the number of live births recorded in Rutland 2017. The number of children educated in Rutland continues to remain higher when compare to the actual birth data. This is due to the high mobility of Service children moving in and out of Rutland and also children from neighbouring authorities' accessing Early Years provision.

### Availability of Early Year Provision

Early education and childcare in Rutland is provided by a large number of different providers which includes state-funded and independent schools, private day nurseries, pre-schools and childminders. This provision is registered and regulated by Ofsted.

Since the 2016-17 CSA report, three Early Years settings have closed with a fourth provider due to close at the end of this academic year. Closures of Early Years' provisions are due to a combination of reasons ranging from the impact of the Early Years National Funding Formula where Providers faced a reduction in the hourly funding rate to the Leadership and Management within individual settings.

All Early Years providers offer inclusive practice to meet the needs of children with special educational needs and disabilities (SEND) and currently provide Early Years Childcare for 41 children with SEND with 10 children attending the state-funded special nursery school in Oakham.

Additional advice and support to meet the needs of all children is offered by the Local Authority Early Years Inclusion Team, Visions Children's Centre, the Early Help Team and Aiming High.

## Rutland Early Years Providers



## Rutland Childminders



Type of Provision	Number	Number of places available
Private and Voluntary Early Years Provision	15	627
Nurseries	4	96
Nursery - Independent School	1	24
Nursery - Special School	1	10
Childminders registered with Ofsted	21	126
Childminders registered with *REYAL	8	48
<b>Total number of registered childcare places</b>		<b>931</b>

\*Rutland Early Years Agency Limited (REYAL) is registered with Ofsted and works in partnership with Rutland County Council Early Years' Service to help recruit and support childminders in Rutland.

A childcare place describes the number of children that can attend the provision at any one time. However, each place may be utilised by numerous children during the day. For example one place could be accessed by up to 4 children therefore creating 4 sessions from a single place.

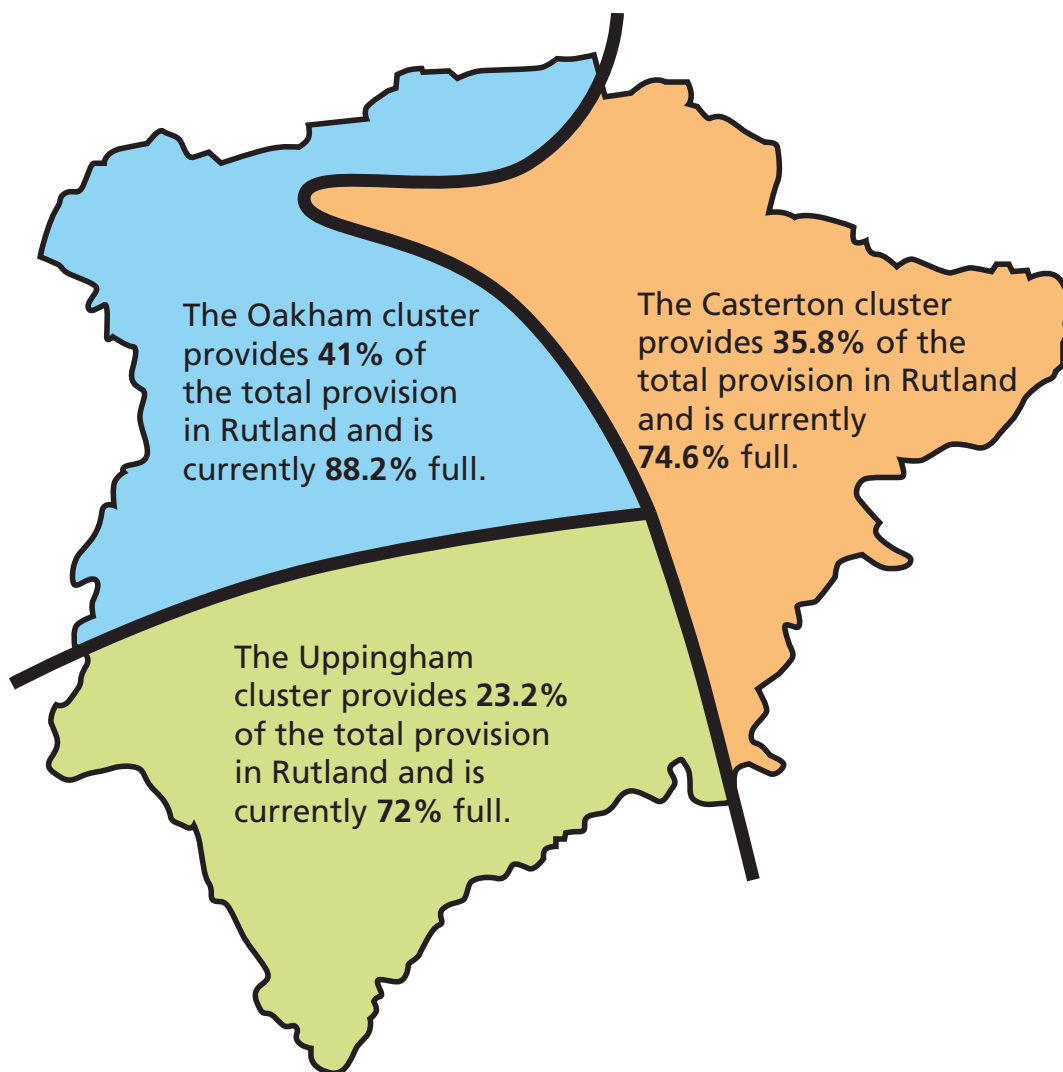
### The Early Years Census 2018 identified:

- The '2 Year Old Entitlement' for eligible 2 year olds was claimed for a total of 40 children, an increase of 12 children from 2017, 69% of those meeting the eligibility criteria.
- The Universal Entitlement for 3 and 4 year olds of 15 hour of Early Education and Childcare was claimed for 760 children, a 102% take up due to out of county parents choosing Rutland for their child's early education.
- The 30 Hour Extended Entitlement supporting working parents was claimed by 280 children.

## Occupancy of Early Years Childcare Places

During May 2018 a thorough assessment of the occupancy of childcare places in the early years' sector was undertaken, with the conclusion that the overall percentage of occupancy across Rutland was 79.8% leaving 20.2% sufficiency. This is a slight reduction from 2017 where the surplus capacity was 23%.

To further support more targeted understanding of potential pressure areas, the Learning and Skills Service considered the specific geographical cluster groups of Oakham, Uppingham and Casterton, which reflects the methodology for school pupil place planning.



The 30 Hour Extended Entitlement has not resulted in the anticipated pressure on childcare places which indicates that a majority of the children now accessing the 30 Hour Extended Entitlement were already accessing nursery provision but this had been paid for by their parents and verified by Early Years providers. We will continue to monitor take-up of places through regular contact with Providers and through the Childcare Sufficiency Assessment 2018-19.

The School Admissions Code allows parents of summer born children (born between 1 April and 31 August) to request that their child is admitted out of their normal age group. In the academic year 2017 only four parents opted to defer entry of their children into primary school; this number will not have an impact on childcare sufficiency.

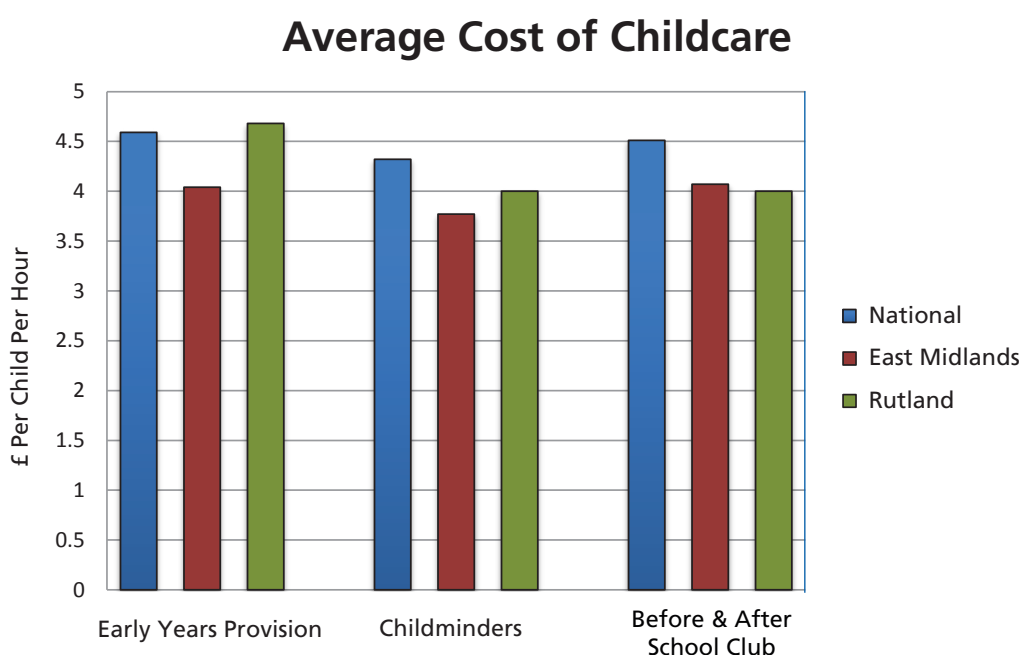


One Early Years' setting closed during this academic year citing government cuts to funding as a key contributor. This was followed up by the Local Authority and can confirm all children access alternative provision. The financial viability of Rutland Early Years' provision will continue to be monitored over the next year, with the Local Authority offering guidance and advice where this is requested by providers.

## Affordability of Early Year Provision

### Average Costs to Parents

The average cost to parents for a childcare place in an Early Years setting in Rutland is currently reported as £4.68 per hour which is an increase from £4.44 in 2017. The average cost of a childcare place with a childminder is £4 per hour which remains at the same level as reported in 2017.



The Department for Education introduced a new Early Years National Funding Formula in April 2017 which has had an impact for Providers accessing government funding and resulted in a financial cut over the past two years from £4.60 per child per hour to £4.40 in April 2017 and then to £4.25 from April 2018. However, Rutland County Council is still paying their providers at a competitive rate when compared with other Local Authorities in the East Midlands.

The Local Authority must monitor the financial viability of settings and work with providers to ensure the statutory duty of 'securing sufficient childcare' to meet the needs of parents who meet the eligibility criteria for Early Education of two, three and four year olds' is fulfilled. Schools Forum has set up an active working party with the remit to develop a solutions-focused approach to supporting Early Years providers to deliver cost efficiencies as well as considering activities to support income generation. The Early Years' Service is contributing to this activity by providing information, advice and guidance. Examples of such work includes access to Early Years' Network meetings (three times a year), the offer of business support and a range of core and accredited training accessible at minimal cost.

## Available Early Education Funding to Parents

### Two Year Old Entitlement

The 2 year old entitlement of free Early Education is not a 'Universal' offer and is only accessed by meeting national eligibility criteria to support disadvantaged children across the county. Children can benefit from this funding until the term after their third birthday. Then like all children, they become eligible for the universal free entitlement for three and four year olds.

Children accessing the 2 year old entitlement are able to access a total of 570 hours per year.

Rutland County Council currently receives funding for 35 children from the Department for Education and pays providers £5.20 per hour. In the summer term 2017 a total of 41 children accessed this entitlement. This number varies from term to term.

Parents who think they might be entitled to 2 year old funding are directed to Visions Children's Centre for more information.



### Three and Four Year Old Universal Entitlement

All three and four year olds can access 15 hours of Early Education for 38 weeks of the year or 11.2 hours over 51 weeks of the year (570 hours per year), until they reach compulsory school age, the term following their fifth birthday. This is currently paid at £4.25 per hour in Rutland.

### Three and Four Year Olds of Working Parents

A child will be entitled to the additional 15 hours per week (giving a total of 1140 hours per year) if the child's parents work and they are able to provide evidence of their eligibility to Her Majesty's Revenue and Customs (HMRC). This can be accessed over 30 hours per week for 38 weeks of the year or 22.4 hours for 51 weeks of the year. This is also paid at £4.25 per hour.

### 3 The Rutland Context – Wraparound and Holiday Childcare

#### Availability of Wraparound and Holiday Childcare

Wraparound childcare is childcare that is provided outside of normal school hours, such as Breakfast clubs or After School childcare. 'Holiday childcare' is childcare that is provided during school holidays. The Private, Voluntary and Independent (PVI) sector supports several schools by facilitating wraparound clubs and holiday childcare. Most providers are registered with Ofsted but providers may be exempt from Ofsted registration if sessions operate for less than two hours per day.

The Early Years' Service has gathered information outlining wraparound and holiday childcare provision available across the county and this information is regularly updated on the Rutland Information Service (RIS) website so that parents can remain well-informed. Some parents require atypical childcare and the Local Authority is currently working in partnership with Early Years' providers to explore options for addressing this requirement.

Parents have not reported finding Before or After School childcare to be an issue. However, the cost of before and after school childcare was raised as an issue, by a small proportion of parents responding to the survey, although the cost of this type of childcare, in Rutland, is lower when compared both regionally and nationally.

Seven providers are currently actively involved in facilitating holiday clubs across Rutland although it is important to note some holiday activities are limited to identified dates and not always delivered for the whole school holiday period.





## The Number of Providers Offering Childcare for School Age Children:

Type of Provision	Number of Providers	Available before 8am weekdays	Available up to 6pm weekdays	Available weekends
Breakfast Club – Primary School	18	13	n/a	n/a
After-school club – primary schools	18	n/a	14	n/a
Breakfast Club – Secondary School	4	4	n/a	n/a
Nursery - Special School	1	10		
After-school club – Secondary schools	4	n/a	3	n/a
Childminders	30	Childminders tend to operate between the hours of 7:30 – 18:30 and offer a flexible service.		1
Holiday Club	7	7	7	n/a

## Cost of Wraparound and Holiday Childcare

The average costs for Before and After School childcare is £4.00 and has remained the same as in 2017. This is usually paid directly to the provider by the parent. Holiday childcare ranges between £23.00 and £28.00 per child per day. Tax free childcare and vouchers can be used to subsidise childcare fees.



## 4 The Quality of Childcare in Rutland

### Quality of Childcare

Rutland County Council's ambition for all children and young people to be educated in good or better provision and starts with our Early Years' providers.

The quality of Early Years provision in Rutland is registered, regulated and judged, by Ofsted. At the time of the Childcare Sufficiency Assessment 2017-18 100% of Rutland Early Years settings are rated as 'Good' or 'Outstanding' by Ofsted, and Rutland has the highest percentage of 'Good' and 'Outstanding' Early Years settings in the East Midlands. This is reflected in consistently high outcomes measured at the end of the Early Years Foundation Stage (EYFS).

	2015 *GLD	2016 GLD	2017 GLD
Rutland	75%	72%	76%
England	66%	69%	70%
East Midlands	64%	68%	69%

\*A Good Level of Development (GLD) is when a child achieves at least the expected level in the early learning goals across the prime areas of learning and development (personal, social and emotional development; physical development; and communication and language) and Literacy and Mathematics are specific areas of learning and development.

All Rutland childminders both registered with Ofsted and with the Rutland Childminding Agency, who have received an inspection, are currently graded as 'Good' or 'Outstanding'.

Similarly, Before and After School and Holiday Childcare that has been inspected by Ofsted has all received an outcome of 'Good'.

### Maintaining High Quality Provision

The Local Authority works closely with Ofsted via weekly communication and regular 'Keeping in Touch' meetings. This provides a robust partnership approach to reviewing themes from inspection outcomes and identifying shared areas of concern as well as celebrating successes and good practice.

Rutland County Council offers a comprehensive package of support to existing and prospective Early Years childcare providers.

Current support offered includes:-

- Initial support visits to new practitioners
- Early Years network meetings
- Early Years Foundation Stage visits by Early Years' Service to all settings
- Early Years Managers' training day, including safeguarding.
- Early Years training programme
- Email and telephone support

To ensure the continued sufficiency of high quality early years and childcare provision in 2018-19, Rutland County Council will continue to develop and improve:

- the completion of routine visits to all Early Years providers, offering advice and support and challenge, guided through regular liaison with the Regional Early Years Ofsted team
- the regular review of provision, as identified within the Learning and Skills Prioritisation and Entitlement document, to identify provision which is vulnerable to failure in the delivery of high expected outcomes for Rutland children
- the proactive approach to offering, brokering or commissioning high quality and timely training and support to enable providers to remain well-informed and meet their education and welfare requirements.

## **5 Parental Views of Childcare in Rutland**

### **Gathering Parental Views**

Rutland County Council consulted with families during March 2018 through the Childcare Sufficiency Assessment Survey, which was completed by 118 parents. This was slightly lower than in 2017 (130 responses) despite the survey being more widely publicised than in previous years. Opportunities for parental engagement will be considered within future survey distribution and consultation activities.

Currently 40 children identified with Special Educational Needs or a disability (SEND) attend an Early Years provision in Rutland 2.3%. However, a high proportion of parents responding to the survey (11.4%) have a child with SEND.

A high number of parents responding to the survey 63.89% are registered with Visions Children's Centre and 65.5% of the total parents responding access Early Years Funding.

### **Key Survey Findings**

**76%**

of respondents identified themselves as living in the Oakham area, this needs to be taken into consideration when drawing conclusions about outcomes from this survey.

**50%**

of parents responding use a Private Day Nursery or Pre-School provision for their child under the age of 5, with 59.82% of the 50% accessing provision in the Oakham area.

**63.5%**

of parents indicated that the prime purpose for using childcare was to enable them to meet their employment needs.

There were a number of reasons why parents choose their provider; the following three in order of significance being:

- Meets the needs of my child
- Reputation of provider
- Location

The Response was almost equally divided between parents accessing childcare during term time and over the whole year.

71% of parents accessing the 30 hour entitlement reported that they have not changed their pattern of working hours since the introduction of the policy in September 2017. 28.7% of parents have identified that the additional hours have provided an opportunity to study or train for employment.

## Conclusion

Of parents responding to the survey 99.1% of parents access childcare between the hours of 6am and 8pm, with 92.4% of parents confirming that the times currently offered meet their needs.

73.3% parents stated that current childcare provision meets their needs, this is an increase of 24.3% from the 2017 CSA assessment.

Where the feedback was less positive, this was largely due to providers working limited hours and particularly for parents working atypical hours.

56.73% of parents said that a lack of Before and After School and holiday childcare was not a barrier to them seeking employment. However, some significant comments were made by individual parents who indicate that holiday childcare could impact on their future employment opportunities. Comments also indicate that a lack of Holiday provision is a concern for some working parents.

Developing a more flexible approach to opening times will be a priority for the Learning and Skills Service for 2018-19.

63.4% expressed that they have not experienced difficulty in accessing provision to meet their child's needs. However, it is noted that parents of children with specific individual needs often find it more challenging to find suitable childcare.

55.5% of parents have identified they have benefitted financially from accessing the Early Education and Extended Entitlement.

Parents paying for childcare (42.1%) have indicated that the cost can be a barrier to accessing all the childcare they require. However, only 31.3% of respondents have opened a 'Tax Free Childcare' Account. This will be continually promoted by the Local Authority. This initiative helps reduce childcare costs to any provider registered with Ofsted and could help to address some of the financial issues identified in this survey.

## Local Business View of Childcare

### Consultation with Businesses

To understand the childcare needs of shift workers and those with unusual working patterns the Local Authority contacted a sample of Rutland's small, medium and large businesses. One to one conversations with proprietors of small businesses highlighted the need for more atypical childcare.

### Key Comments from Larger Businesses

Many of the larger businesses who took part in the survey, made similar comments to last year, indicated that they offer family friendly flexible working wherever possible and identified that to cover all eventualities such as ill health or holiday care, parents often have backup childcare support in place.

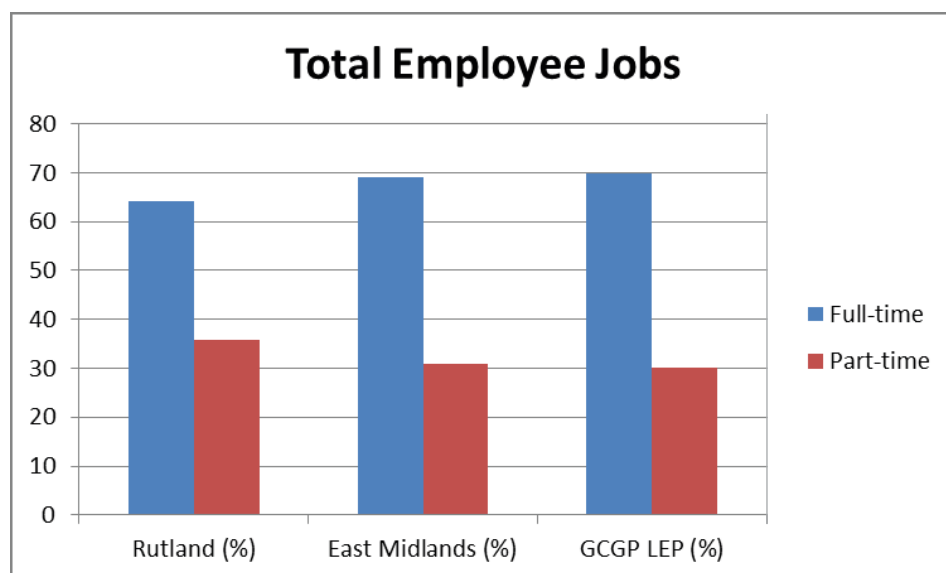
### Key Comments from Small and Medium Sized Businesses

85% of Rutland businesses are categorised as 'micro' businesses this means that the business operate on a very small scale and the employees comprise of no more than ten employees. 14% of such businesses expressed difficulty in accessing childcare beyond the typical working hours of 8am to 6pm on weekdays and lack of Holiday childcare to meet their individual needs.

### Conclusion

The requirement for atypical and holiday childcare was highlighted as an issue for a small number of micro businesses, though not identified as a problem for larger businesses. Promotion of the Rutland Information Service website should help to address some individual childcare needs by informing parents of available childcare provision.

### Rutland Key Statistical Data



Rutland has a high proportion of part-time employees and therefore it is essential that childcare sufficiency is closely monitored to ensure the needs of both full and part time working parents is met.



Rutland County Council has met the childcare sufficiency duty in 2017-18 by:

- Ensuring there is sufficient Early Years and Childcare provision across the county. Using information that has been collated through direct contact with providers, the invitation for parental response and views of the Rutland Business sector.
- Ensuring that there is access to high quality Early Education and Childcare provision for all children including those children accessing Early Entitlement funding for two, three and four year olds.
- Ensuring there is sufficient Early Education and Childcare provision for children from families taking up the childcare element of the working tax credit, children with additional needs, school-aged children and children needing care through school holidays.

Rutland County Council has supported and promoted the 30 Hour Extended Entitlement which has resulted in a higher than anticipated proportion of parents accessing additional paid-for hours. The Department for Education had anticipated that 185.6 children would access the 30 Hour Extended Entitlement. However, in the January census 259 children were accessing the additional hours. Parents have been encouraged to open a Tax-Free childcare account but there has been lower than anticipated take up; the Learning and Skills Service will continue to work with providers to support the promotion of this Policy to help with childcare costs.

HMRC and the DfE have acknowledged the difficult challenges that parents have faced in registering for both entitlements. Some parents responding to the parental survey highlighted their difficulties in registering and time delays in accessing their entitlements.

Through routine monitoring, the Early Years service will continue to carefully assess the childcare provision available and to work with Early Years providers and REYAL to promote further childcare and childminder facilities as required.

The recommendations listed below from the 2016-17 Childcare Sufficiency Action plan have been completed (Appendix 2).

- Continue to market and promote the free education entitlement for two, three and four year olds to ensure parents are accessing the high quality provision to which they are entitled.
- To further explore the quality, availability and reach of wrap-around and holiday provision to meet the needs of Rutland families.
- Continue to monitor childcare sufficiency data through the implementation of the new Open Objects System to support the introduction of the 30 Hour Extended Entitlement.
- If childcare quality and sufficiency concerns are identified this is followed by a comprehensive approach to planning for additional provision to meet the needs of all Rutland children and their families.

### Our priorities for the next year are to:

- Secure additional childcare places across Rutland to offer greater accessibility for parents.
- Extend availability of childcare to greater meet parental demand.
- To support Rutland childcare providers to remain financially viable.

## 8 APPENDIX 1

### Rutland Early Years' Service Childcare Sufficiency and Early Education Action Plan 2018-19

**Aim:** To ensure sufficient, high quality Early Education, Out of school and Holiday childcare places are available to meet the needs of all Rutland children and families.

**Outcome:** Parents are able to access childcare provision that is available, accessible and affordable and delivered flexibly in a range of high quality settings

1. SECURE ADDITIONAL CHILDCARE PLACES ACROSS RUTLAND TO OFFER GREATER ACCESSIBILITY FOR PARENTS				
Target	Actions	Responsibility	Timescale	Completed and evaluated
Childcare provision secured at Kendrew Barracks, Cottesmore and Oakham Enterprise Park	<ul style="list-style-type: none"> <li>Identify and register provider for each location</li> <li>Engage with identified provider and support them to become fully operational and deliver early entitlement places and the EYFS</li> </ul>	<b>Sally Hickman</b> Early Years Adviser	March 2018 - December 2018	
Additional childcare provision identified and distributed more equally across Rutland	<ul style="list-style-type: none"> <li>Engage with prospective providers and support them to become fully operational and deliver early entitlement places and the EYFS</li> </ul>	<b>Karen Bland</b> Safeguarding and Early Education Officer	June 2018 - January 2019	
Increase parental survey response rates to allow a more robust evaluation of parental views across Rutland	<ul style="list-style-type: none"> <li>Work in partnership with all Early Years Providers and Schools to increase the volume of survey responders</li> <li>Explore opportunities with larger businesses to increase the volume of survey responses, including from working parents</li> </ul>	<b>Karen Bland</b> Safeguarding and Early Education Officer	January 2019 - March 2019	
2. EXTEND AVAILABILITY OF CHILDCARE TO GREATER MEET PARENTAL DEMAND				
Target	Actions	Responsibility	Timescale	Completed and evaluated
To increase the number of all-year round childcare providers from 5.	<ul style="list-style-type: none"> <li>Create a bank of highly skilled and experienced early years practitioners</li> </ul>	<b>Karen Bland</b> Safeguarding and Early Education Officer	March 2018 - December 2018	
Extending opening hours and weeks	<ul style="list-style-type: none"> <li>To offer support to current providers in extending operational times to include holiday cover and holiday clubs</li> </ul>	<b>Sally Hickman</b> Early Years Adviser	December 2018 - July 2019	
3. TO SUPPORT RUTLAND CHILDCARE PROVIDERS TO REMAIN FINANCIALLY VIABLE				
Target	Actions	Responsibility	Timescale	Completed and evaluated
Ensure all Childcare Providers continue to operate and remain financially viable	<ul style="list-style-type: none"> <li>Support the financial viability of education businesses through access to Rutland County Council's Economic Development Team.</li> <li>Continue to work with School Forum Early Years Working Party to monitor current provision and to engage with a collaborative approach to sustainability and viability</li> </ul>	<b>Sally Hickman</b> Early Years Adviser	April 2018 - April 2019	

**Aim:** To ensure sufficient, high quality early education and childcare and wraparound and holiday care places are available to meet the needs all Rutland children and their families.

**Outcome:** Parents and carers report that, because childcare places are available, accessible and affordable and delivered flexibly in a range of high quality settings, it is sufficient to meet needs so that they are able to study or work.

## 1. MAINTAIN SUFFICIENCY OF EARLY EDUCATION AND CHILDCARE ACROSS RUTLAND

Target	Actions	Responsibility	Timescale	Completed and evaluated
Systematic processes for childcare sufficiency data collection, to include information to ensure sufficiency for the 30 Hour Extended Entitlement, are implemented <ul style="list-style-type: none"> <li>ensuring accurate data is readily available</li> <li>sufficiency of provision ensured</li> </ul>	<ul style="list-style-type: none"> <li>Organise programme of training and guidance for LA staff and early years providers to ensure confident use of Open Objects</li> <li>Calculate the number of additional hours accessed by eligible 30 hour entitled children following the headcount data collection process</li> </ul>	<p>Early Years adviser, Childcare officer</p> <p>Early education and childcare co-ordinator</p>	<p>September 2017 Autumn 2017 Spring 2018 Summer 2018</p>	<p>All providers using Open Objects; successful training provided. Phone support continues to be available to all providers Update on hours accessed available</p>
<p>The Open Objects System is implemented and monitoring in place to ensure it is providing an effective data resource and evaluation tool for 30HEE so that the system</p> <ul style="list-style-type: none"> <li>meets the needs of both the LA and all Early Years providers</li> <li>supports the effective allocation and audit of the Early Years funding</li> </ul>	<ul style="list-style-type: none"> <li>Organise promotional materials to ensure all Early Years providers sign up to and use Open objects</li> <li>Continue to market and promote the free education for two, three and four-year olds to ensure parents/ carers are accessing the high quality provision to which they are entitled</li> </ul>	<p>Early education and childcare co-ordinator</p> <p>Early Years adviser, Childcare officer</p>	<p>January - March 2018 On-going</p>	<p>100% providers using Open Objects Market and promotion includes Rutland Information Service website</p>
<p>A comprehensive approach to support the generation of additional provision to meet the requirements of all Rutland children and their families is planned with stakeholders and providers and implemented in a timely manner</p>	<ul style="list-style-type: none"> <li>Monitor take up of places using Open Objects three times annually.</li> <li>Confirm and evaluate information collected above to assess overall sufficiency to report to elected members annually.</li> <li>Work with LA officers and childcare representatives to explore and develop processes to support viability of existing providers and increase the number of new providers within Rutland</li> </ul>	<p>Early Years Adviser and Childcare officer</p> <p>Early Years Adviser and Childcare officer</p> <p>Early Years Adviser and Childcare officer</p>	<p>September 2017- May 2018 September 2017- May 2018 September 2017 – April 2019</p>	<p>Delay in accessing Open Objects due to system becoming operational overcome successfully; fully functioning Spring 2018. Schools Forum EYFS working party established to support viability of provision</p>

2. ASSURE QUALITY OF EARLY EDUCATION AND CHILDCARE				
Target	Actions	Responsibility	Timescale	Completed and evaluated
Sufficiency of good or better quality	<ul style="list-style-type: none"> <li>Monitor Ofsted inspection outcomes and identify:               <ul style="list-style-type: none"> <li>Strengths; work with Providers to provide opportunities for sharing good practice</li> <li>Areas for improvement: offer support and guidance to bring about rapid improvement. Monitor for evidence of sustained impact</li> </ul> </li> <li>Routinely complete the Early Years priority assessment process to identify any issues relating to quality or sufficiency; implement appropriate actions to address identified issues</li> <li>Develop a cohesive programme of training and guidance for all pre-school childcare providers, focusing on high quality early education, safeguarding and meeting the needs of all young children in preparation for readiness for school</li> </ul>	<p>Early Years adviser, Childcare officer</p> <p>Early education and childcare co-ordinator</p>	<p>2017- August 2018</p> <p>3 times per year</p> <p>April 2018 to April 2019</p>	<p>On-going support provided. Challenge where provision less than good. Use of Early Years practitioners in support/moderation Outdoor Project in conjunction with Early Excellence.</p> <p>Managers Day Event completed – focus on safeguarding</p> <p>Developing Childcare Project within Learning and Skills Action Plan 2018-19</p>
3. ENSURE SUFFICIENCY AND QUALITY OF WRAPAROUND AND HOLIDAY CHILDCARE TO MEET PARENTAL NEEDS				
Target	Actions	Responsibility	Timescale	Completed and evaluated
Accurate data on wrap-around and holiday childcare maintained; information readily available to parents and carers on RCC/ Rutland Information website	<ul style="list-style-type: none"> <li>Undertake regular monitoring of provision to include providers added to and removed from register; update RCC website and link to neighbouring authority websites for parents attending provision outside Rutland.</li> <li>Develop a plan to support increased local authority partnership with wrap-around and holiday providers to include systematic audit of need and provision, updated to ensure information is current at key school holiday times; signpost through publication and website</li> <li>Confirm strategic policy in relation to monitoring of wrap-around and holiday childcare beyond LA statutory duty; potential to include increased levels of data collection, programme of provider training and support, quality assurance of provision.</li> </ul>	<p>Early Years and Childcare Co-ordinator</p> <p>Early Years officers</p> <p>Head of Learning and Skills</p>	<p>Weekly from October 2017</p> <p>December 2017 to March 2018</p>	<p>October half term February half term Currently uploading Easter Half term information on to RIS</p> <p>Cleansing of RIS site to ensure accurate provide information Contact with out of school , holiday childcare providers Ofsted links</p>

**Rutland Information Service**

[ris.rutland.gov.uk/kb5/rutland/directory/families.page?familieschannel=0](http://ris.rutland.gov.uk/kb5/rutland/directory/families.page?familieschannel=0)

**Early Years Foundation Stage**

All Early Years providers deliver the Early Years Foundation Stage (EYFS)

The Early Years Foundation Stage Profile is the statutory assessment completed at the end of the Reception year. It is hoped that the majority of children will achieve a 'Good Level of Development' (GLD) at the end of the EYFS, the results in 2017 below, show that Rutland children achieved above national and regional comparisons. Rutland GLD was the highest in the East Midlands.

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/596629/EYFS\\_STATUTORY\\_FRAMEWORK\\_2017.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/596629/EYFS_STATUTORY_FRAMEWORK_2017.pdf)

[www.gov.uk/government/publications/early-years-foundation-stage-profile](http://www.gov.uk/government/publications/early-years-foundation-stage-profile) handbook

**Ofsted**

For an explanation on the role of Ofsted, the inspection framework and a description of the Ofsted judgements please see Ofsted Early Years inspection handbook available at

[www.gov.uk/government/publications/early-years-inspection-handbook-from-september-2015](http://www.gov.uk/government/publications/early-years-inspection-handbook-from-september-2015)

**Tax Free Childcare account**

Working parents are able to open a Tax Free Childcare account, for every £8 a parent pays into their childcare account, the government will pay in an extra £2. Parents can get up to £2,000 government support per child per year towards their childcare costs. They can then use this money to pay their childcare provider, including Ofsted Registered out of school providers.

[www.gov.uk/help-with-childcare-costs/tax-free-childcare](http://www.gov.uk/help-with-childcare-costs/tax-free-childcare)

[www.childcareworks.co.uk/](http://www.childcareworks.co.uk/)





Catmose, Oakham, Rutland LE15 6HP  
Telephone: 01572 722577  
[www.rutland.gov.uk](http://www.rutland.gov.uk)  
[enquiries@rutland.gov.uk](mailto:enquiries@rutland.gov.uk)

## **CABINET**

**16 October 2018**

### **PUPIL PREMIUM PLUS POLICY**

#### **Report of the Strategic Director for People**

Strategic Aim:	Creating a brighter future for all	
Key Decision: No	Forward Plan Reference: FP/140918	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr D Wilby, Portfolio Holder for Lifelong Learning, Early Years, SEND, Inclusion	
Contact Officer(s):	Gill Curtis, Head of Learning and Skills	01572 758460 gcurtis@rutland.gov.uk
	Tim O'Neill, Director for People and Deputy Chief Executive	01572 758402 toneill@rutland.gov.uk
Ward Councillors	N/A	

#### **DECISION RECOMMENDATIONS**

That Cabinet:

1. Notes the intent of the Pupil Premium Plus Policy



## **1 PURPOSE OF THE REPORT**

- 1.1 This report outlines the intention to provide schools with clarity regarding the allocation and spending expectations of the Pupil Premium Plus (PP+) Grant that Rutland County Council receives on an annual basis for Children Looked After by the Local Authority. The intention of the Policy is to more precisely link the allocation of PP+ funding to quality assured pupil targets, through the Personal Education Plan process, with the intention to further improve outcomes for Children Looked After by Rutland.

## **2 BACKGROUND AND MAIN CONSIDERATIONS**

- 2.1 Children Looked After by the Local Authority (CLA) are defined in the Children Act 1989 as one who is in the care of, or provided with accommodation by, an English local authority.
- 2.2 The Department for Education (DfE) allocate to local authorities a provisional amount of £2,300 per child looked after. This is referred to as the Pupil Premium Plus (PP+) allocation or grant. The Pupil Premium Plus is extra funding provided by the Government to help narrow the attainment gap between looked after children and other children.
- 2.3 Children who have ceased to be looked after by a local authority in England and Wales because of adoption, a special guardianship order, a child arrangements order or a residence order are also entitled to Pupil Premium Plus allocation of £2,300.
- 2.4 The funding is provided by the Department for Education and devolved to schools and education providers by the Virtual School.
- 2.5 The Pupil Premium Plus must be managed by the designated virtual school head (VSH) in the local authority that looks after the child, and used without delay for the benefit of the CLA's educational needs as described in their personal education plan. In Rutland, this role is held by Helen Bushell who has been in post since January 2018.
- 2.6 The VSH should ensure there are arrangements in place to discuss how the child will benefit from pupil premium plus funding with the Designated Teacher for CLA in a school or another member of staff in the child's education setting who best understands their needs. Processes for allocating funds to a child's education setting should be as simple as possible to avoid delay.
- 2.7 Local authorities may not carry forward funding held centrally into the financial year 2018 to 2019. Centrally-held LAC premium that has not been spent, or allocated to the child's education setting, by 31 March 2019 will be recovered.
- 2.8 The Pupil Premium Plus Policy identifies how the PP+ will be spent on children looked after by Rutland. The Policy has been updated to reflect recent changes to national policy and good practice guidelines and to provide clarity to relevant stakeholders.
- 2.9 Through the more targeted procedures for allocating PP+ funding to schools, directly linked to a rigorous, quality assured Personal Education Plan process, improved outcomes for all CLA pupils can be promoted and evaluated.



- 2.10 This Policy sets out a transition from schools receiving a fixed PP+ sum each academic term, to a more needs generated funding to take account of the fact that some CLA will have greater need than others, or that individual needs may change over time.
- 2.11 Through regular reviews between the school and the Virtual School Head Teacher, Helen Bushell, assurances can be made that support for CLA in schools will not be compromised by the changing policy.
- 2.12 The Policy will be reviewed at the end of the academic year to evaluate the impact of the revised approach to the distribution of funding based on the quality of the Personal Education Plan and the outcomes for the child or young person for whom the funding is intended.

### **3 CONSULTATION**

- 3.1 Consultation is undertaken with school leaders, the Designated Teachers for Children Looked After, the Learning and Skills Service and Children's Social Care.

### **4 ALTERNATE OPTIONS**

- 4.1 The Pupil Premium Plus Grant is allocated by the Department for Education for each Rutland Child Looked After to the Virtual School to promote the education of children and young people in care.
- 4.2 How the Grant is to be used must be clearly identified in each young person's Personal Education Plan (PEP) in consultation with the Designated Teacher, the Social Worker and the Carer and any other relevant professionals.
- 4.3 The Policy sets out the transition to a needs-generated approach to allocating funding. If this Policy was not implemented, the current option to allocate a fixed sum to each child regardless of need, could continue.

### **5 FINANCIAL IMPLICATIONS**

- 5.1 The Pupil Premium Grant received for Rutland County Council for 2018-2019 is £71300 which is based on the number of CLA identified in the annual return. This amount varies each year depending on the number of the CLA on the census.
- 5.2 The Policy promotes funding allocated to reflect individual need.
- 5.3 Any Pupil Premium Plus grant that has not been allocated to schools by the end of the financial year must be returned to the Department for Education.
- 5.4 Local authorities will be required to certify that they have passed on the correct amount of funding to schools or, where funding has been spent centrally, that it has been spent in line with these conditions of grant.

### **6 LEGAL AND GOVERNANCE CONSIDERATIONS**

- 6.1 The Secretary of State for Education lays down the terms and conditions on which assistance is given in relation to the pupil premium grant payable to local authorities.

## **7 EQUALITY IMPACT ASSESSMENT**

- 7.1 An Equality Impact Assessment (EqIA) has not been completed.

## **8 COMMUNITY SAFETY IMPLICATIONS**

- 8.1 No community safety implications have been identified through the Pupil Premium Plus Policy.

## **9 DATA PROTECTION IMPLICATIONS (MANDATORY)**

- 9.1 A Data Protection Impact Assessments (DPIA) has been completed. No adverse or other significant risks/issues were found. A copy of the DPIA can be obtained from Ms Gill Curtis.

## **10 HEALTH AND WELLBEING IMPLICATIONS (MANDATORY)**

- 10.1 The Pupil Premium Plus Policy promotes the intention of the Pupil Premium Plus for children in care and previously looked after to support and help to raise their educational performance and their social and emotional welfare in school.
- 10.2 It has been shown in various studies that children adopted from care do not perform as well as their classmates at school. Pupil Premium Plus provides funding to help education providers give extra support to children in care or previously in care to help them reach their potential.

## **11 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

- 11.1 The Pupil Premium Plus Policy aims to improve outcomes for Children Looked After or previously Looked After by Rutland through a more targeted allocation of the Pupil Premium Plus funding to greater med assessed need.

## **12 BACKGROUND PAPERS**

- 12.1 There are no additional background papers to the report.

## **13 APPENDICES**

- 13.1 Appendix A – Rutland County Council Pupil Premium Plus Policy

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

# **RUTLAND COUNTY COUNCIL**

## **Pupil Premium Plus Policy**

## INTRODUCTION

The arrangements for Pupil Premium Plus Grant (PP+) for Children Looked After (CLA) children are now well established nationally and there is a commitment that this funding will remain in place for this parliament.

Throughout our policy, the Pupil Premium for CLA will be referred to as **Pupil Premium Plus (PP+)** to distinguish it from other forms of Pupil Premium.

- The overall grant allocated to each Local Authority (LA) is calculated on a per capita basis at £2,300 per child and this will vary from year to year depending on the number of CLA in care on the January Census. The past three year budgets give an indication of PP+ Grant received by RCC as follows:
  1. 2016 -17 £62700
  2. 2017 - 18 £70300
  3. 2018 - 19 £71300
- PP+ does not have to be distributed on a per capita basis, given that CLA in care have differing levels of need at different stages of being in care
- CLA will be eligible as soon as they enter care however if a CLA enters care after the January census then RCC will not receive the funding until the following year
- LAs are responsible for PP+ payments with the Virtual School Headteacher (VSH) being responsible for making sure there are effective arrangements in place for its allocation
- Prior to September 2018 the costs attributed to PP+ were identified and agreed through the PEP (paper) process
- From September 2018 Rutland will introduce an electronic Personal Education Plan (ePEP) which will provide more comprehensive data. It is through this ePEP that the costs attributed to PP+ are identified and agreed. Welfare Call ePEP system allows live access for the Designated teacher and Social worker to update information and target setting
- Regular feedback on the quality of PEPs will be sent from the Virtual School to designated teachers and social workers

## OVERALL PRINCIPLES UNDERPINNING OUR CHILD'S NEEDS DRIVEN POLICY

- The VSH is responsible for the use of PP+ to improve outcomes for all children in Rutland's care, wherever they live
- The allocation of PP+ from Rutland is based on a "**child's needs driven model**", identified through SMART, costed targets in the ePEPs up to £500 per full school term.
- The PP+ funding must be used to improve educational outcomes and "narrowing the gap". The SMART costed targets and the subsequent payment of the PP+ Grant will ensure that ePEPs and associated costs lead to improved outcomes for all CLA whether educated in Rutland or in Out of County Educational provisions.

- None of the grant will be used to pay for Virtual School management or administration
- Rutland County Council and the VSH are corporate parents, so the question 'would this be good enough for my child?' is a central one in making decisions and evaluating the effectiveness of the use of PP+
- The ePEP needs to be a quality assured document. The Virtual School is responsible for the quality assurance process

## **HOW MUCH PP+ FUNDING CAN BE APPLIED FOR?**

Rutland Virtual School will continue to allocate in the region of £500 per quality assured ePEP reflecting current practice.

It is the expectation that three ePEPs are completed each academic year. The costs identified should reflect the resources required for up to 12 weeks of provision.

In exceptional circumstances schools can currently apply for additional funding from the Virtual School to support exceptional needs. Again, this needs to be applied for through the ePEP process.

### **Additional resources for 2018-19 only**

- In the financial year 2018-19 PP+ may be allocated to enable Rutland County Council and education providers to more effectively support a CLA as they transition from one school to another. This can either be in the transition from an EYFS setting to reception, Year 6 to Year 7 (Primary to Secondary School), or when an in-year school move is necessary part way through an academic year.
- These additional resources take into account that schools should be funding the first 10 hours of support through their delegated budget if the pupils has SEN Support or an EHCP. The funding requested should be for support which is over and above any SEN Support or EHCP funding.
- Typically, the Virtual School would look to allocate this resource at the PEP meeting which should take place within 10 days of a CLA being in a new school.
- This funding is available to state funded schools only.

It is recognised that rates of pay for additional members of staff may vary. Therefore Rutland County Council requests that each school identifies the costs associated with this transitional support. Transparency of the expectation of the support being funded, the cost and the expected impact is essential and the following detail must be provided before funding can be allocated.

- The PP+ will only be provided to meet clear quantitative (and exceptionally qualitative), costed SMART targets (see below for examples) in the following six areas:
  - Academic achievement and progress – SMART educational targets
  - Wider achievement - in an area in which the child is gifted and talented

- Attendance
- Inclusion - by reducing internal and external exclusion
- Social skills
- Transition into the next key stage and/or a new learning provider

#### **Examples of activities that PP+ might be used for:**

- Additional 1:1 tuition to support assessed areas of learning; a rate of up to £35 per hour will be paid
- Additional support in school that will build self-esteem, confidence, resilience or learning skills. Examples of this could be peer mentoring and nurture group provision
- Aspiration raising activities that will benefit the CLA's learning and development
- Extra learning resources over and above what the school routinely provides
- Alternative education packages to address assessed need
- Revision courses/guides as long as it is normal school practice for these costs to be covered by parents/carers

#### **RUTLAND VIRTUAL SCHOOL ADDITIONAL LEARNING FUND**

In Rutland, the Virtual School currently has an "Additional Learning Fund" which will be used to pay for exceptional need identified in the ePEP which is over and above what would normally be asked for within the PP+ grant. This can be used to offer certain programmes to support CLA pupils e.g. additional Educational Psychologist emotional and behavioural support, targeted tuition for national assessments and GCSE Pod (an on-line subject support programme). In addition, this funding may support identified and agreed CPD opportunities and training to all designated teachers, social workers and carers.

#### **HOW AND WHY WILL THE ALLOCATION OF PP+ VARY?**

- Children's needs vary and can 'spike'. For some children £2,300 is only a fraction of the cost of the support their need. Additional costs may be a result of:
  - children who come into care in an emergency with a fragmented home and education history and who are behind academically
  - children who have to move into or out of county in an emergency
  - children placed out of county in other LAs who will lose out without additional help
  - children where there is a significant and often delayed reaction to abuse and neglect, which manifests in hard to anticipate behavioural 'spikes'

In view of this, there may be a difference in the amount of PP+ funding distributed to schools from the Local Authority PP+ Grant allocation. However, this will be within the overall amount granted to the LA.

Proposals to pool PP+ within a school where this is more than one CLA to enhance services, providing its use is directly linked to children in care's needs via the ePEP, are allowed.

### **CIRCUMSTANCES IN WHICH PP+ WILL NOT BE PROVIDED**

- PP+ will not be used to double fund or replace funding which should already have been allocated to the school to support the child and specifically; to fund services that should be provided via a statement, or and Education, Health and Care (EHC) plan; or, other statutory work e.g. statutory assessment or support from health or Social Care
- School trips, social and leisure activities – carers receive an allowance which should cover these costs
- Interventions put in place which are within school routine practice and do not require any additional funding; the school's own funding covers the cost of these interventions
- The ePEP SMART targets that are not aligned to the six areas outlined in this Policy

### **CIRCUMSTANCES WHEN THE PP+ ALLOCATION WILL BE ADJUSTED**

- For learners who start Reception Year or Year 7 in September 2016, schools can apply for a maximum of £1000 PP+ through the ePEP process to cover the period September 2018 - March 2019 unless the needs of the CLA are such that they need Additional Learning Fund.
- For learners in current Year 6 or Year 11, the maximum grant that can be applied for is £500 to cover the period April 2019 - July 2019 unless the needs of the child/young person are such that they need Additional Learning Fund.

### **ALLOCATION OF PP+ TO SCHOOLS AND RECOUPMENT POLICY**

- The PP+ grant will be transferred into an agreed school bank account each term at the end of December, March and July on completion of a successfully quality assured high quality personalised ePEP with set robust targets for improvement.
- The monies will be transferred in three instalments, based on the principle that there should be three ePEPs every year
- Payments will be based on the SMART targets within the ePEP
- Where there is a need to clarify what funding a school is providing from its own resources, the school may need to provide evidence before PP+ can be allocated.
- The Virtual School will not recoup PP+ where a child moves during the term, unless the amount is greater than £600

- Rutland County Council reserves the right to recoup the funding if there is evidence that the funding is not being used to address the CLA's needs

## **ALLOCATION OF PP+ TO RESIDENTIAL PROVIDERS AND INDEPENDENT SPECIAL SCHOOLS; AND RECOUPMENT POLICY**

- Only in exceptional circumstances will extra funding be provided to residential providers and independent special schools because they are already funded at a high level by LA budgets
- Any PP+ allocation will have to be approved by the VSH, on receipt of a high quality ePEP
- Whether additional funding is granted or not, the providers are still expected to complete the ePEP; with associated targets for the CLA
- Rutland County Council reserves the right to recoup the funding if there is evidence that the funding is not being used to address the CLA's needs

**The Pupil Voice section of the ePEP** – must be completed. If the pupil expresses a need this would be expected to be addressed in the targets which are set.

## **PP+ FUNDING FROM RUTLAND COUNTY COUNCIL VIRTUAL SCHOOL**

**PP+ is requested through the ePEP.** Targets, with measurable outcomes, are reviewed, new targets are set and PP+ funding is requested. PP+ funding will be allocated against SMART, costed targets as per the Rutland County Council PP+ Policy.

	Comments
<b>Specific target to be achieved</b>	Read and Write numbers from 100 to 1000. To start to do simple calculations
What will be <b>measured</b> ?	To check weekly testing through a style of precision teach her recognition and writing of 3 digit numbers starting at 100. To monitor in class when doing number work calculations her accuracy.
<b>Realistic date to be done by?</b>	January 2019
Description of how PP+ cost is calculated	1-1 support once a week with Teacher 20 weeks x £25 = £500 30 mins =£250
PP+ cost for this target	£250
	Comments
<b>Specific target to be achieved</b>	Improving spelling 3 & 5 level words using digraphs and trigraphs To use precision teach to consolidate this



What will be <b>measured</b> ?	Testing of spellings weekly and comparing longer pieces of work produced throughout the term on a fortnightly basis. To see increased % of correct spellings
<b>Realistic date</b> to be done by?	January 2019
Description of how PP+ cost is calculated	1-1 support once a week with Teacher 20 weeks x £25 = £500 30 mins =£250
PP+ cost for this target	Precision teach 4 times a week with TA 15 mins = 20 weeks x £12.50 per hour = £250
	Comments
<b>Specific target</b> to be <b>achieved</b>	To complete 2 short adult-initiated tasks each morning
What will be <b>measured</b> ?	XXX currently is reluctant to engage in adult directed activities. Over the course of a week, XXX to demonstrate success in at least 5 adult initiated activities
<b>Realistic date</b> to be done by?	12 weeks (March2019)
Description of how PP+ cost is calculated	1:1 TA facilitation @ 20mins per day x 5 days per week x 12 weeks £5 x 5 days x 12 weeks
PP+ cost for this target	£300

## PP+ FOR CLA FROM OTHER LOCAL AUTHORITIES

Different policies towards PP+ will be implemented by different LAs

Rutland schools who have CLA from other Local Authorities on their roll must contact the Head Teacher of the relevant Virtual School to request their PP+ policy, as nationally, all VSHs are responsible for the allocation of PP+ for all school aged CLA from their authorities, even though the child is educated in a Rutland school. The name and contact details of other VSHs can be requested from the Rutland Virtual School.

## ADOPTED CHILDREN, SPECIAL GUARDIANSHIP ORDER AND CHILD ARRANGEMENT ORDER

In addition, through a separate process, children adopted from care or children who have previously been in care but now have a Special Guardianship Order or Child Arrangements Order (formally known as a Residence order) will be entitled to £2,300 passed directly to the school. **However, this grant is outside the remit of this policy.**

For further information on this please refer to:

<https://www.gov.uk/government/publications/children-adopted-from-care-and-the-pupil-premium-template-letter>

### **Contact Details for the Virtual School**

<b>Section/Role</b>	<b>Name</b>	<b>Email Address</b>	<b>Tel No</b>
Headteacher of the Virtual School	Helen Bushell	Hbushell@rutland.gov.uk	01572 758213

## CABINET

16<sup>th</sup> October 2018

### CORPORATE DEBT POLICY

#### Report of the Strategic Director for Resources

Strategic Aim:	Sound Financial and Workforce Planning	
Key Decision: No	Forward Plan Reference: FP/050718	
Exempt Information	No	
Cabinet Member(s) Responsible:	Councillor Gordon Brown, Deputy Leader and Portfolio Holder for Planning, Environment, Property and Finance.	
Contact Officer(s):	Mr Saverio Della Rocca, Strategic Director for Resources	01572 758159 sdrocca@rutland.gov.uk
	Andrea Grinney, Revenues & Benefits Manager	01572 758227 agrinney@rutland.gov.uk
Ward Councillors	N/A	

#### DECISION RECOMMENDATIONS

That Cabinet RECOMMENDS TO COUNCIL:

1. To approve the Corporate Debt Policy detailed at Appendix A.
2. To approve the adoption of the Council Tax Protocol detailed at Appendix B.
3. To approve the authorisation of the Strategic Director for Resources, in consultation with the Portfolio Holder for Regulatory Services, Waste Management, Planning Policy & Operations, Property Services, Finance including Revenues & Benefits and Internal Audit to review and make minor changes to the policy and the Council Tax Protocol in line with changes to legislation, guidance and best practice.

## **1 PURPOSE OF THE REPORT**

- 1.1 The purpose of the report is to seek approval for a revised Corporate Debt Policy detailed at Appendix A and to approve the adoption of the Council Tax Protocol detailed at Appendix B.
- 1.2 Authority is also being sought to enable the Strategic Director for Resources to review and make minor changes to the policy in consultation with the Portfolio Holder; this will ensure that the policy and the Council Tax Protocol can be kept up to date to reflect any changes to legislation, precedents established by case law, guidance from central government and departments such as the Ministry of Justice and best practice.

## **2 BACKGROUND AND MAIN CONSIDERATIONS**

- 2.1 The current Corporate Debt Policy was approved in January 2013 (Report 14/2013). The policy and the appendices detail numerous processes and procedures which have changed significantly over time. It is therefore sensible to review our approach to debt collection and adopt a new corporate debt policy at this time for a number of reasons:
- The existing policy was approved over 5 years ago and is now out of date and is quite rigid and inflexible;
  - Members considered debt and our approach to recovery when undertaken the Poverty Review. We said we would focus on providing help and advice and encourage customers to seek early intervention;
  - When the existing policy was written we were not collecting commercial rents from tenants of Oakham Enterprise Park or The Kings Centre so we need to include a bespoke approach for collecting commercial rents;
  - The existing policy doesn't include reporting levels of debt to members. Reporting is currently limited to seeking approval for the write off irrecoverable debts once a year, which doesn't reflect the overall position;
  - There have been a number of challenges to the approach councils take when recovering debts that have brought about a change in working practices which aren't reflected in the current policy. i.e. how we calculate and charge costs;
  - There have been significant changes in the way civil enforcement agents (former known as bailiffs) operate and the fees they can charge following the introduction of the Taking Control of Goods Regulations 2013;
  - Local Council Tax Support replaced Council Tax Benefit from April 2013 which resulted in many working age claimants having to pay Council Tax for the first time, along with other welfare reforms, often means that Council Tax can be difficult to collect from customers on low incomes;
  - The Local Government Association (LGA) and Citizens Advice Bureau (CAB) have devised a Council Tax Protocol which promotes working together, early intervention and best practice in debt collection; and

- The Ministry of Justice have introduced a Pre-Action Protocol which helps debtors to settle their debt or dispute before an application for a County Court Judgement can be made.

### 3 OUR PRINCIPLES

3.1 We have reviewed our principles to make sure that our approach to debt collection is robust and fair.

3.2 The following table details our principles and how we achieve and measure our success where possible.

Principle	How we will achieve the principle
Collect debts due to us in a timely manner	Request payment up front whenever possible to avoid creating debt in the first place  Issue bills, invoices and notices promptly or as soon as possible
Recover and enforce debts in accordance with relevant legislation and guidance	Officers trained to achieve expertise, skills and knowledge  Processes, procedures and IT systems comply with legislation and regulations
Make it easy for customers to pay	Offer a range of payment options and communicate these on documents and our website  Use plain language
Encourage customers to contact us as soon as they have a problem with paying a debt	Include a written notice on all documents encouraging contact
Encourage self-help by signposting customers to advice and support agencies	Signpost to Rutland Citizens Advice in the first instance. If appropriate, make seeking advice a condition of agreeing a payment plan
Work with customers in debt to set payment plans that they can afford and review payment plans as and when their circumstances change	Officers trained to achieve expertise, skills and knowledge of payments plans  Clear documentation for customers detailing any conditionality, reporting changes in circumstances and failure to pay consequences etc.
Explain the recovery process to ensure that customers understand their obligations and	Clear documentation  Information on our website

<b>Principle</b>	<b>How we will achieve the principle</b>
what could happen if they don't pay	
Take a firm stance when customers evade paying their debts	Clear documentation Information on our website

## **4 OVERVIEW OF THE POLICY**

4.1 The Council collects income from a wide variety of sources such as Council Tax, Business Rates, overpaid housing benefit, commercial rent, sundry debts and Penalty Charge Notices for parking contraventions. Every effort is made to collect monies due to us in the most appropriate and effective way.

4.2 The Council has a good track record of collecting debt, but in some cases recovery action has to be taken to enforce payment. The enforcement action we can take is different for each type of debt and this is addressed in separate sections of the policy and this is summarised below.

### **4.3 Council Tax and Business Rates**

4.3.1 The recovery process is defined in legislation and a set process must be followed. Instalments are due on the 1<sup>st</sup> of each month. For example, the first instalment is due on the 1<sup>st</sup> April, if this instalment is not paid a reminder letter would be issued mid-April, if the instalment remains unpaid a Summons will be issued mid-May, if the sum due is not paid the Council would be able to obtain a Liability Order to take enforcement action towards the end of June. If a Liability Order is obtained a number of measures can be taken to recover the debt which include attachment to earnings, attachment to benefits, referral to enforcement agents, bankruptcy and placing a charge on the property.

4.3.2 There is always a small number of 'difficult to collect debts' where the statutory process has been largely exhausted. Officers are left with three choices a) we monitor and continue to pursue as best we can b) we pursue committal action (but this can result in the debt being expunged if a prison sentence is given so this is only used as a last resort) and finally c) we write off the debt (we only consider this if we have tried everything else or the debtor is bankrupt). We have a Recovery Lead Officer who is dedicated to tackling the 'difficult to collect debts'.

4.3.3 The Council Tax Protocol has been developed by Citizens Advice Bureau and the Local Government Association. It provides good practice guidance for local authorities, enforcement agencies and debt advice agencies when working with customers in debt. The aim of the protocol is to ensure that council taxpayers receive help and can access debt advice when they need it. The revised corporate debt policy has been written to work alongside this guidance. It is therefore recommended that the Council adopt the Council Tax Protocol at Appendix B.

### **4.4 Sundry Debts, Overpaid Housing Benefit and Miscellaneous Income**

4.4.1 The recovery process for collecting these debts requires the Council to follow a

defined process in order to comply with County Court rules. Where possible the Council will request payment 'up front' for services. If this isn't possible we will issue an invoice which should be paid in full within 30 days. If the amount due is not paid then reminder letters are sent and ultimately we can apply for a County Court Judgement which allows us to taken enforcement action.

- 4.4.2 The Ministry of Justice introduced a new step in the process called a Pre-Action Protocol. This step is intended to give debtors the opportunity to resolve disputes, negotiate or settle the debt before it goes to Court and can be a useful part of the process when debtors are willing to engage with us.
- 4.4.3 One key type of sundry debt is adult social care fees for care and support. People are often vulnerable i.e. have a learning disability, have dementia, are in and out of hospital. It is often difficult to contact the person to discuss payment of invoices and sometimes family members have on take on the responsibility of managing the person's finances either informally or formally by Power of Attorney. If there are no family members or there are signs of financial abuse we apply for deputyship which takes a long time to obtain.
- 4.4.4 The Council has a duty of care and we cannot simply stop providing care even of if people do not pay their invoices. Debt can accrue quickly e.g. £500 a week for residential care fees if unpaid for only 2 months can quickly accrue to a debt of £4,000. The process of recovering unpaid social care debts therefore is not easy.

## **4.5 Commercial Income**

- 4.5.1 Another key area relates to council owned business units. The Council's position, as indicated in its standard lease terms is quite clear. If payment of rent is 28 days overdue, even if it is not billed, then the tenancy is subject to forfeiture. There are some challenges to applying this strictly including:
- The Council tends to work with businesses and there are many examples whereby tenants fall behind with their rent but then catch up - we want to support businesses rather than exacerbate the situation.
  - By evicting tenants, the Council effectively creates a void unit with no income coming in - where there is no demand, giving the tenant more time to pay doesn't worsen the Councils positon.
  - The position can change quickly making decision-making about when to take action difficult.
- 4.5.2 The Council has strengthened its position in the policy by requesting a deposit in advance, insisting on payment by Direct Debit and taking prompt action if eviction is the best remedy.

## **5 MEASURING AND MONITORING**

- 5.1 Key performance indicators will be reported to members quarterly or annually. This will include:
- The in-year collection rates for Council Tax and Business Rates (Quarterly).

- The percentage of customers paying their Council Tax by Direct Debit (Annually).
- The amount of debt that remains outstanding for previous financial years which is still outstanding at the end of each financial year, and the amount collected against the debt at the end of the next financial year (Annually).
- The percentage of overpaid Housing Benefit debt and Sundry Debts being recovered against the percentage that we have nothing in place for (Annually).
- The percentage of debt that has been referred to a civil enforcement agent or debt collection service to collect and their success rate (Annually).
- Write off requests will be reported to Cabinet along with a summary of overall performance and highlighting any 'difficult to collect' debts (Annually).
- The number of Compliments, Comments and Complaints received.

## **6 COMMENTS FROM INFRASTRUCTURE AND RESOURCES SCRUTINY PANEL**

- 6.1 The Panel debated the draft Corporate Debt Policy on 13<sup>th</sup> September 2018 (Report Number 130/2018). The Panel were supportive of the draft policy and were particularly keen to ensure that people with vulnerabilities were identified as soon as possible and signposted to appropriate help and advice services.

## **7 CONSULTATION**

- 7.1 Consultation is not required for any decisions being sought in this report, however Rutland Citizens Advice Bureau have been consulted and they have indicated that they support the policy and agree to adopt the Council Tax Protocol.

## **8 ALTERNATIVE OPTIONS**

- 8.1 The Council can chose not to update its existing policy. This is not recommended for the reasons outlined at point 2.1.

## **9 FINANCIAL IMPLICATIONS**

- 9.1 There are no direct implications but failing to collect income can reduce resources available to meet spending plans.

## **10 LEGAL AND GOVERNANCE CONSIDERATIONS**

- 10.1 The Council is required to comply with the Civil Procedure Rules where pursuing debts. The Pre -Action Protocol has a specific set of requirements that will be adhered to in implementing this Policy.
- 10.2 Regard will also be had to the Council's duties under Section 149 Equality Act 2010.



## **11 DATA PROTECTION IMPLICATIONS**

- 11.1 A Data Protection Impact Assessments (DPIA) has been completed. No adverse or other significant risks/issues were found. A copy of the DPIA can be obtained from Andrea Grinney.

## **12 EQUALITY IMPACT ASSESSMENT**

- 12.1 An Equality Impact Assessment questionnaire has been completed and there are no specific issues arising.

## **13 COMMUNITY SAFETY IMPLICATIONS**

- 13.1 There are no community safety implications arising from this report.

## **14 HEALTH AND WELLBEING IMPLICATIONS**

- 14.1 There are no health and safety implications arising from this report.

## **15 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

- 15.1 It is timely to review our approach to debt collection and adopt a new policy at this time because of the reasons outlined at 2.1.

## **16 BACKGROUND PAPERS**

- 16.1 Report 14/2013 Corporate Debt Policy (Cabinet 22.1.2013)

## **17 APPENDICES**

- 17.1 Appendix A – Corporate Debt Policy (with appendices)  
Appendix B – Council Tax Protocol

A Large Print Version of this Report is available upon request – Contact 01572 722577.

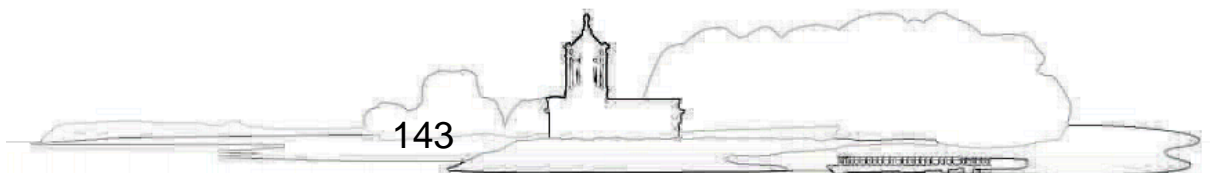




# Rutland County Council

## CORPORATE DEBT POLICY

Version & Policy Number	Draft V 1.0
Guardian	Andrea Grinney, Revenues & Benefits Manager, 01572 758 227
Approved by Scrutiny	13 <sup>th</sup> September 2018
Approved by Cabinet	16 <sup>th</sup> October 2018
Approved by Full Council	12 <sup>th</sup> November 2018



## **Summary of document**

This policy sets out how we will work with customers to collect debt. It details our approach and action we will take to recover debt.

## Contents

	<i>Page</i>
1.0 Purpose of the Corporate Debt Policy	4
2.0 Key principles	4
3.0 Scope	4
4.0 Definitions	5
5.0 Prioritising Debts	5
6.0 Customer Care	6
7.0 Vulnerability	7
8.0 Help and advice	8
9.0 Recovery of Council Tax and Business Rates	9
10.0 Recovery of Sundry Debt, Overpaid Housing Benefit and Miscellaneous Income	10
11.0 Recovery of Commercial Income	11
12.0 Recovery of Penalty Charge Notices	11
13.0 Payment Plans	12
14.0 Evasion and fraud	13
15.0 Review and continuous improvement	13
16.0 Measuring Performance	14
17.0 Complaints, disputes and mistakes	14
18.0 Provision for write off	14
19.0 Data Protection	14
 Appendix A Council Tax Protocol	
Appendix B Council Tax recovery flow chart	
Appendix C Sundry Debt recovery flow chart	
Appendix D Overpaid Housing Benefit recovery flow chart	
Appendix E Penalty Charge Notices recovery flow chart	

## **1.0 Purpose of the Corporate Debt Policy**

- 1.1 We have a duty to all residents and businesses to collect all sums due to the Council promptly and efficiently. Delays in collection or non-recovery of debts can lead to higher administrative costs, increased borrowing and potentially reduced resources for the provision of essential services.
- 1.2 We have developed this policy to support the maximisation of debt collection through adopting a fair, proportionate and consistent approach coupled with a firm and efficient manner taking personal circumstances into account.

## **2.0 Key Principles**

- 2.1 We aim to adhere to the following key principles when raising and collecting debt:
  - We will raise debt and collect those due to us in a timely manner
  - We will recover and enforce debts in accordance with relevant legislation and guidance
  - We will make it easy for customers to pay
  - We will encourage customers to contact us as soon as they have a problem with paying a debt
  - We will encourage self-help by signposting customers to advice and support agencies such as Citizens Advice Bureau and online services
  - We will work with customers in debt to set payment plans that they can afford and review payment plans as and when their circumstances change
  - We will explain the recovery process to ensure that customers understand their obligations and what could happen if they don't pay their debt
  - We will take a firm stance when customers evade paying their debt

## **3.0 Scope**

- 3.1 This policy relates to all debts owed to us including:
  - Council Tax
  - Non-Domestic Rates (Business Rates)
  - Overpaid Housing Benefit
  - Accounts Receivable (Sundry Debt Invoices)
  - Commercial Income
  - Ground rent and all other rent
  - Penalty Charge Notices (Parking Contraventions)
  - Adult Social Care charges
  - Green waste collection service
  - Planning and Building Control fees

- Miscellaneous fees and charges

## 4.0 Definitions

4.1 The following definitions apply to this policy:

- **Debt/Arrears** – a sum that is due to be paid to us, has not been paid and the date on which payment was due has passed
- **Customer/Debtor** – a person(s), organisation or other legal entity that owes a debt to us
- **Recovery Action** – a process that prompts payment; as recovery action escalates it allows us to apply a number of remedies to recover the debt if it remains unpaid. Costs incurred can also be added to the debt
- **Enforcement Action** – An enforcement agent may take control of goods and charge fees that are set out in legislation (previous remedy was known as bailiffs and levying distress)
- **Vulnerable Person** – a customer who has difficulty in paying or dealing with their debt(s) because of their personal circumstances and they require assistance to help them. Further details regarding vulnerability are provided at Section 7.0

## 5.0 Prioritising debts

- 5.1 There are many types of debt, but those considered as a priority are those owed to creditors who can take the strongest recovery action against debtors who do not pay.
- 5.2 We expect customers to pay their priority debts first in preference to other debts. For example, we do not want debtors to pay off Council debts but leave themselves vulnerable to eviction. We would rather work with customers to see how we can help them to resolve their situation.
- 5.3 Customers who indicate that they have a problem with managing or paying their debts will be signposted to seek debt advice from agencies such as Citizens Advice Bureau.
- 5.4 The table below details the order of priority debt and the seriousness of the recovery action that can be taken. In addition to recovery action, court costs and legal fees can also be added which can increase the debt owed.

Priority	Debt type	Ultimate recovery action
1	Rent arrears	Eviction
1	Mortgage arrears	Repossession and Eviction
2	Council Tax	Imprisonment
3	Business Rates	Imprisonment / Bankruptcy
3	Secured loans	Repossession / Imprisonment

3	Income Tax and VAT	Imprisonment / Bankruptcy
3	Maintenance / Child support	Imprisonment
4	Fines / Compensation	Imprisonment
4	County Court Judgement (CCJ)	Bankruptcy / Enforcement Action
5	Overpaid Housing Benefit	Deduction from ongoing entitlement / CCJ
5	Fuel / Water rates	Disconnection / Enforcement action
5	Hire Purchase	Repossession of item
5	Penalty Charge Notices	Enforcement action
5	Other Council debts	CCJ

5.5 The table below details some non-priority debts:

<b>Debt type</b>	<b>Debt type</b>
Bank overdraft	Money borrowed from family or friends
Store card	Interest free Hire Purchase agreements
Credit card	Mail Order/Catalogue
Unsecured personal loans	Any other debt

## 6.0 Customer Care

6.1 We recognises that customers can and do experience financial difficulties from time to time and may need additional support or advice.

In order to help customers we will:

- Ask for payment before the service is delivered when possible
- Issue requests for payment promptly and accurately
- Provide bills and recovery action letters in plain language which clearly show what to pay, when and how
- Take recovery action promptly to avoid debts building up quickly
- Make it easy to pay by providing a range of payment methods
- Make it easy to contact us through a range of options including face to face, telephone, email or in writing
- Explain what could happen if the debt isn't paid including costs/fees that may be added to the debt
- Signpost customers to seek debt advice if appropriate
- Respond to enquiries promptly and efficiently in a sensitive and professional way

Customers will be expected to:

- Pay amounts due promptly on or before the date that the payment is due
- Follow payment instructions to make sure that the payment is allocated correctly



- Contact us promptly if a payment can't be made and be able explain why
- Seek advice when signposted to do so
- Be courteous to us
- Be honest
- Be realistic about expectations and what you can afford to pay

## 7.0 Vulnerability

- 7.1 We are committed to helping vulnerable customers who are in debt. For the purpose of this policy a vulnerable customer is defined at 4.1 above.
- 7.2 Vulnerability may be temporary or permanent and the reasons can be wide and varied. The list below is not exhaustive but it describes some characteristics or situations where a customer may be considered to be vulnerable:

<b>Vulnerability</b>	<b>Brief description</b>
Disability	a customer with a physical or mental disability
Learning Disability	a customer with a recognised learning disability
Mental Impairment	a customer with a recognised mental health impairment
Serious illness	a customer who has a serious and debilitating long term illness or medical condition
Terminal illness	a customer who is terminally ill
Low income	a customer who is on a low benefit income or low wage i.e. living in or close to poverty
Recent unemployment	a customer who has been made redundant and has immediate financial pressures and are unfamiliar with claiming benefit
Communication difficulties	a customer who has communication barriers and needs to be supported by translation services i.e. difficulty in understanding English Language
Limited literacy and numeracy skills	a customer who has difficulty in reading/writing and understanding bills and letters
Carers	customers with responsibility for caring for other family members over the age of 18
Care leavers	a young customer under the age of 25 who has left care and is establishing themselves in the community
Domestic abuse	a customer who are experiencing or have recently relocated due to physical, sexual, emotional or violent abuse
Lone parents	a customer who is the sole adult in the household and has a child or children who have difficulty in taking up employment due to their child care commitments

Pregnancy	a woman who is in the late stage of pregnancy (6-9 months) or has recently given birth (birth – 3 months) and is not being supported by a partner
Recently bereaved	a customer who has lost a close relative (spouse, child, parent) within the last 6 months
Older person	a customer who has reached their state retirement age and living on a fixed and limited income
Recently release from prison	a customer who has been released from prison within the last 12 months and is establishing themselves in the community
Addiction/substance misuse	a customer who has an addiction or substance misuse including recovering drug and alcohol users
Indebtedness	a customer with multiple debts and cannot meet their repayment obligations

7.3 Some customers may fall into the above categories and not be vulnerable i.e. an older person may not be vulnerable if they are fit, active, independent and financially secure.

7.4 Vulnerability doesn't mean that we will not collect the debt but we will have particular regard to:

- How vulnerability affects a customer's ability to pay
- If additional help is needed e.g. support to apply for benefits
- Signposting or referral to help and advice
- Offering flexible or lower payment plans whilst help and advice is sought
- The method of recovery action that may be used if it becomes necessary to do so
- Allowing extra time to seek advice and support by postponing recovery action if necessary

7.5 We will work with colleagues (internally) using their professional expertise and experience to tailor any action accordingly or determine whether individuals need further help.

## 8.0 Help and advice

8.1 We will signpost or refer customers to help and advice services when they indicate that they are experiencing problems with; ongoing benefit entitlement, complex benefit issues, a large debt, multiple debts, tenancy or mortgage debt, inability or lack of knowledge of budgeting.

8.2 In the majority of cases customers will be signposted or referred to Rutland Citizens Advice Bureau. There may be occasions when a customer expresses a preference for a different help and advice service

is another service is more appropriate i.e. Money Advice Service, Christians Against Poverty, Business Debt Line etc. in which case those details will be provided.

- 8.3 Officers will use the Standard Financial Statement; which is a tool used to summarise a person's income and outgoings along with any debts they owe, when assessing a customer's financial circumstances, as this is widely used by advice organisations and will ensure a consistent approach. Further information is available at <https://sfs.moneyadviceservice.org.uk/en/>

## **9.0 Recovery of Council Tax and Business Rates**

- 9.1 This section covers billing, collection, recovery action and enforcement action for Council Tax and Business Rates.
- 9.2 The Council, Rutland Citizens Advice Bureau and our civil enforcement agents will sign up to the 'Collection of Council Tax arrears good practice protocol' - updated and published by Citizens Advice Bureau in 2017 at Appendix A.
- 9.3 We will follow the statutory process for billing and collection of Council Tax and Business Rates and any relevant guidance from central government. Appendix B provides a simple flow chart of the Council Tax recovery process.
- 9.4 We will consider customers vulnerability, if support and advice is needed and the option of payment plans when considering what recovery action to take.
- 9.5 We will consider taking the most appropriate recovery action that ensures the debt is paid in a timely way. We will refer the debt to enforcement agents if we are not able to pursue other options. We will consider:
- what we know about the customer. i.e. if we don't know where the customer works we can't apply for an Attachment to their Earnings
  - their previous payment history, i.e. if we have agreed payment plans in the past and whether or not this has been successful or adhered to
  - their level of communication and cooperation with us i.e. if this has been infrequent or non-existent
  - if the customer has evaded paying or committed fraud
  - their personal circumstances e.g. they are about to start work shortly

- 9.6 We may commence bankruptcy petition or obtaining a charging order on the property, if either of these are suitable. In considering these options we will consider:
- The likely outcome and success of pursuing this course of action
  - The costs for both the Council and the customer
- 9.7 If other options are unsuccessful, we will take action that could lead to imprisonment of the debtor. At every opportunity the debtor will be encouraged to make a reasonable payment plan with us to avoid committal to prison proceedings continuing.
- 9.8 If a customer is committed to prison the debt outstanding; which is the subject of the committal order, will be written off as it is irrecoverable.
- 9.9 Recovery action can be taken against the person who is liable to pay the bill or anyone who is 'jointly and severally liable' to pay e.g. in the case of joint tenants we could attach the earnings of either debtor, in the case of a business partnership we could petition for insolvency of either partner.

## **10.0 Recovery of Sundry Debt, Overpaid Housing Benefit and other miscellaneous income**

- 10.1 This section covers the billing collection and recovery of all sundry debts, housing benefit overpayments and miscellaneous income.
- 10.2 We will ask for payment 'up front' whenever possible to avoid a debt being created in the first place. e.g. bulky waste collection, green bin collection, room hire etc.
- 10.3 We will follow the legal debt recovery process and any other relevant guidance. Appendix C provides a simple flow chart of the Sundry Debt recovery process and Appendix D provides a simple flow chart of the Overpaid Housing Benefit recovery process.
- 10.4 Payments must be made upfront, where it is deemed uneconomical to raise and invoice for services, due to the low value.
- 10.5 The Budget Manager of the department raising the invoice is responsible for addressing any enquiries relating to the invoice and settling any disputes regarding the invoice. Sufficient evidence and supporting documents must be available to support the validity of the invoice.
- 10.6 In cases of non-payment where services continue to be provided, consideration will be given to suspending or cancelling the service until the debt is paid.

- 10.7 The debt may be referred to a debt collection agency for collection if other options have been unsuccessful or are not suitable.
- 10.7 When recovering overpaid Housing Benefit we will always make deductions from ongoing entitlement when possible and in certain circumstances we can also recover from the landlord.

## **11.0 Recovery of Commercial Income**

- 11.1 This section covers what we call 'Commercial Income' e.g. commercial rents, service charges levied from tenants who rent/lease business units or space from the Council.
- 11.2 We aim to:
- Collect income in the most efficient way
  - Minimise the risk of debt accruing on an account
- 11.3 To achieve these objectives, we will operate as follows:
- Deposits - tenants will be required to provide 3 months deposit in advance which will be non-refundable in the event of damage or unpaid debts
  - Direct Debit - tenants will be required to pay by Direct Debit covering the rent, service charges and all other charges as a condition of their lease
  - Arrears - in the event of an unpaid or recalled Direct Debit, tenants may be evicted in line with their lease conditions
- 11.4 We are committed to supporting local businesses. If a local business is experiencing financial difficulty, we will consider how it can work with the business where possible. Any variation to the usual recovery action must be approved by the Strategic Director for Resources.

## **12.0 Recovery of Penalty Charge Notices to complete**

- 12.1 This section covers Penalty Charge Notices (PCN)
- 12.2 We will follow the statutory process and operational guidance for recovering unpaid PCN's. Appendix E provides a simple flow chart of the recovery process.
- 12.3 The Parking Services Manager may consider representation from debtors who present extenuating circumstances. The Parking Services Manager will consider the circumstances and if upheld then the debt may be reduced or remitted in full. Each case is considered on its own merits. The debtor will be expected to co-operate and provide evidence when requested.

- 12.4 In some cases debtors do not make their representation within the statutory timescales. Again these representations will only be considered if there are extenuation circumstances or the representation is approved by senior management.

## **13.0 Payment Plans**

- 13.1 Wherever possible customers are encouraged to contact us at the earliest opportunity to discuss payment of their debt. We can then consider the customers circumstances with an aim to agreeing a payment plan that avoids further recovery action being taken.
- 13.2 Customers will be required to fully co-operate with us and provide information when requested and to seek debt advice if signposted to do so.
- 13.3 When considering payment plans the following will be taken into account:
- Full payment will always be requested. However, if full payment is not possible a payment plan may be agreed, in most cases the debt should be fully paid up before the end of the financial year to which it relates.
  - Payment plans that go beyond the end of the financial year will only be made in exceptional circumstances, i.e. if the customer is vulnerable and an assessment of the customer's ability to pay has been undertaken by a debt advice agency or an officer using a Standard Financial Statement (SFS) provided by the Money Advice Service.
  - Payment plans should start with an initial payment being made within one month of the date of the agreement.
  - Payment plans may be conditional i.e. the customer will be expected to seek debt advice and provide evidence of this upon request.
  - Payment plans will be reviewed regularly (i.e. every 3,6,12 months) with an expectation that the customer is able to increase their payments as their personal circumstances improve.
  - Payment plans will not automatically prevent us from taking further recovery action to secure the ongoing recovery of the debt or prevent us from adding costs i.e. to obtain a Liability Order or CCJ.
  - Payment plans may be refused if we are likely to obtain a higher repayment from an attachment of earnings or benefits.
  - Payment plans may be refused if we have reason to believe that it will not be adhered to. i.e. the customer has a history of failed payment plans, the payment plan is unrealistic and will not clear the debt in a reasonable time.
  - Payment plans may be refused if the customer has sufficient assets which could be used to pay the debt but the customer is unwilling to do so i.e. savings or investments.

- Payment plans will usually be confirmed in writing so that the customer clearly understands, how much to pay, when payment is due, how to pay, the review date, and if there are any conditions attached.
- The customer is responsible for making their payments on time, reminders will not be issued.
- If the customer has an unexpected change of circumstances and can't make a payment on time, they should contact us immediately to explain the reason why. We will consider the customers circumstances and may review or cancel the payment plan depending on; the reason, previous payment history, the amount of debt owed, any conditions attached being met.
- In the event of failure to pay, the payment plan will be cancelled and recovery action will commence or continue as previously notified without any further notice.

## **14.0 Omission, Evasion and fraud**

- 14.1 Occasionally customers don't tell us about a change in their circumstances promptly i.e. an omission e.g. an award of Attendance Allowance that affects the financial assessment for care fees or another adult moves into a taxpayer's property that removes the single person discount for council tax. In such cases we will backdate the change to the actual date of the change which can increase the amount of a debt or create a new debt. We will consider how we recover the debt having regard to the individual's circumstances and why the omission occurred.
- 14.2 Evasion of payment and fraud reduces the financial resources available to us and has a direct impact on all residents and businesses that rely on us for their services. Evasion and fraud will not be tolerated and where identified we will take robust enforcement action to recover the debt as quickly as possible and may seek to impose further penalties or sanctions as the law allows.
- 14.3 If a customer vacates and doesn't provide us with a forwarding address we will try to trace them which may include the use of external specialist tracing agencies. If we are not able to trace debtors we will continue to take recovery action by issuing documents to their last known address.

## **15.0 Review and continuous improvement**

- 15.1 We will follow best practice when recovering debt and have regard to good practice guidance issued by central government and other recognised organisations, e.g. Chartered Institute of Public Finance and Accountancy, Institute of Revenues, Rating and Valuation, Ministry of Justice, Local Government Ombudsman.

- 15.2 The Policy may be reviewed from time to time and refreshed as appropriate. Minor changes will be approved by the Assistant Director-Finance in conjunction with the Portfolio Holder for Resources.

## **16.0 Measuring Performance**

- 16.1 We aims to collect debts in a timely and efficient manner, this is essential to enable us to deliver services to residents and businesses. We will measure our performance using performance indicators. Key performance indicators are reported to Members quarterly and published on our website.
- 16.2 Collection rates and levels of debt will be reported to members annually.

## **17.0 Complaints, disputes and mistakes**

- 17.1 We recognises that mistakes in the billing, collection and recovery of debts can cause distress to customers and our aim is to get it right first time. If a genuine mistake is made and brought to our attention we will put it right and apologise. We will look at our processes to see if we can prevent the same mistake happening again.
- 17.2 Disputes raised by customers about matters covered in this policy will be investigated and responded to by a senior officer.
- 17.3 Complaints raised by customers about matters covered in this policy will be dealt with in accordance with the Councils Compliments, Comments and Complaints Policy.

## **18.0 Provision for Write off**

- 18.1 Every effort will be made to collect debts, however in some circumstances it may be necessary to write off a debt if it becomes irrecoverable. e.g. the debtor is made bankrupt or small balances that are uneconomical to pursue.
- 18.2 Our Financial Standing Orders make provision for the Section 151 Officer to write off debts to a specified level, debts above this level require approval by Cabinet. A report detailing such debts is taken to Cabinet annually.

## **19.0 Data Protection**

- 19.1 The Council will comply with the General Data Protection Regulations, further details are available on our website.



**A large print version of this document is  
available on request**

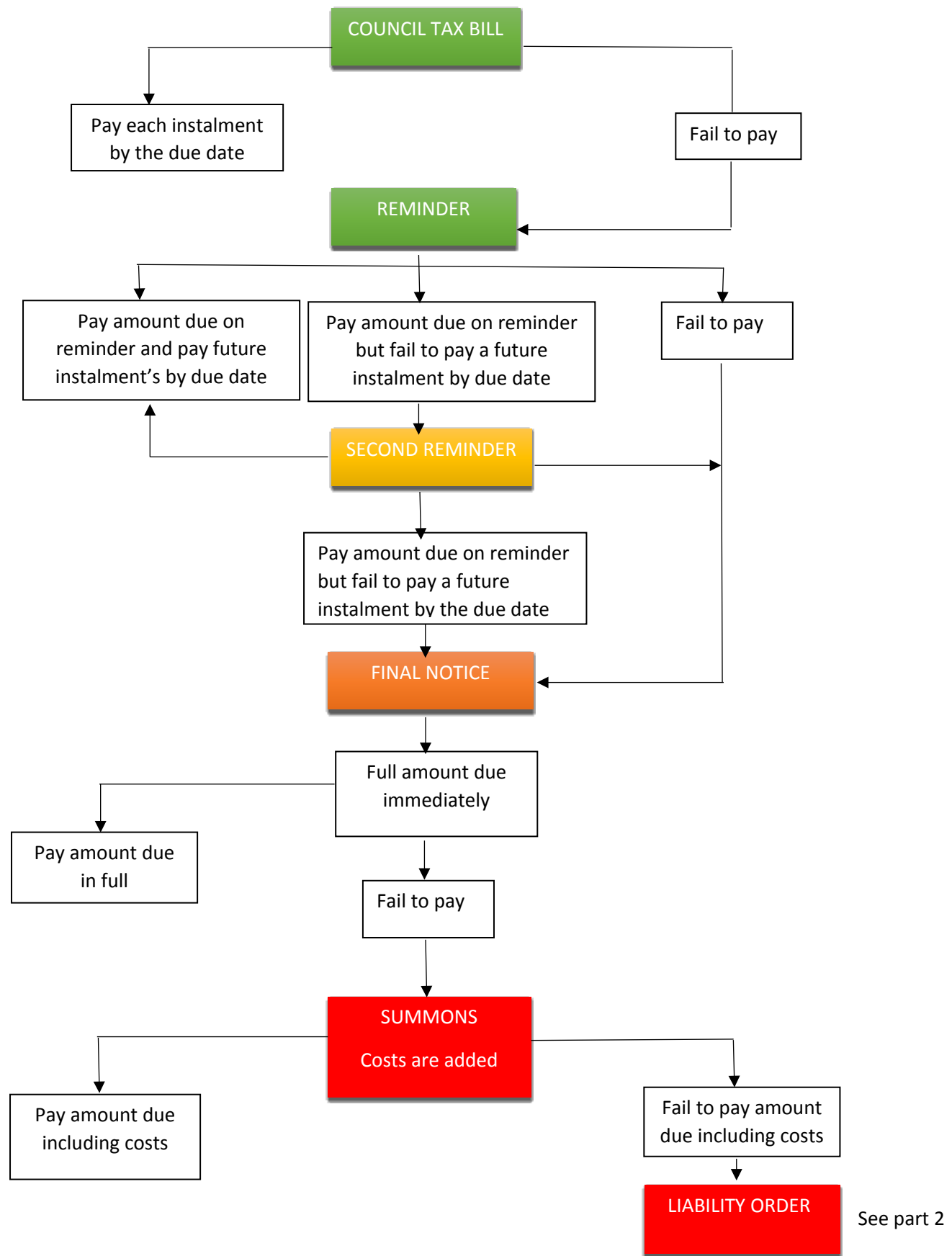


**Rutland**  
County Council

Rutland County Council  
Catmose, Oakham, Rutland LE15 6HP

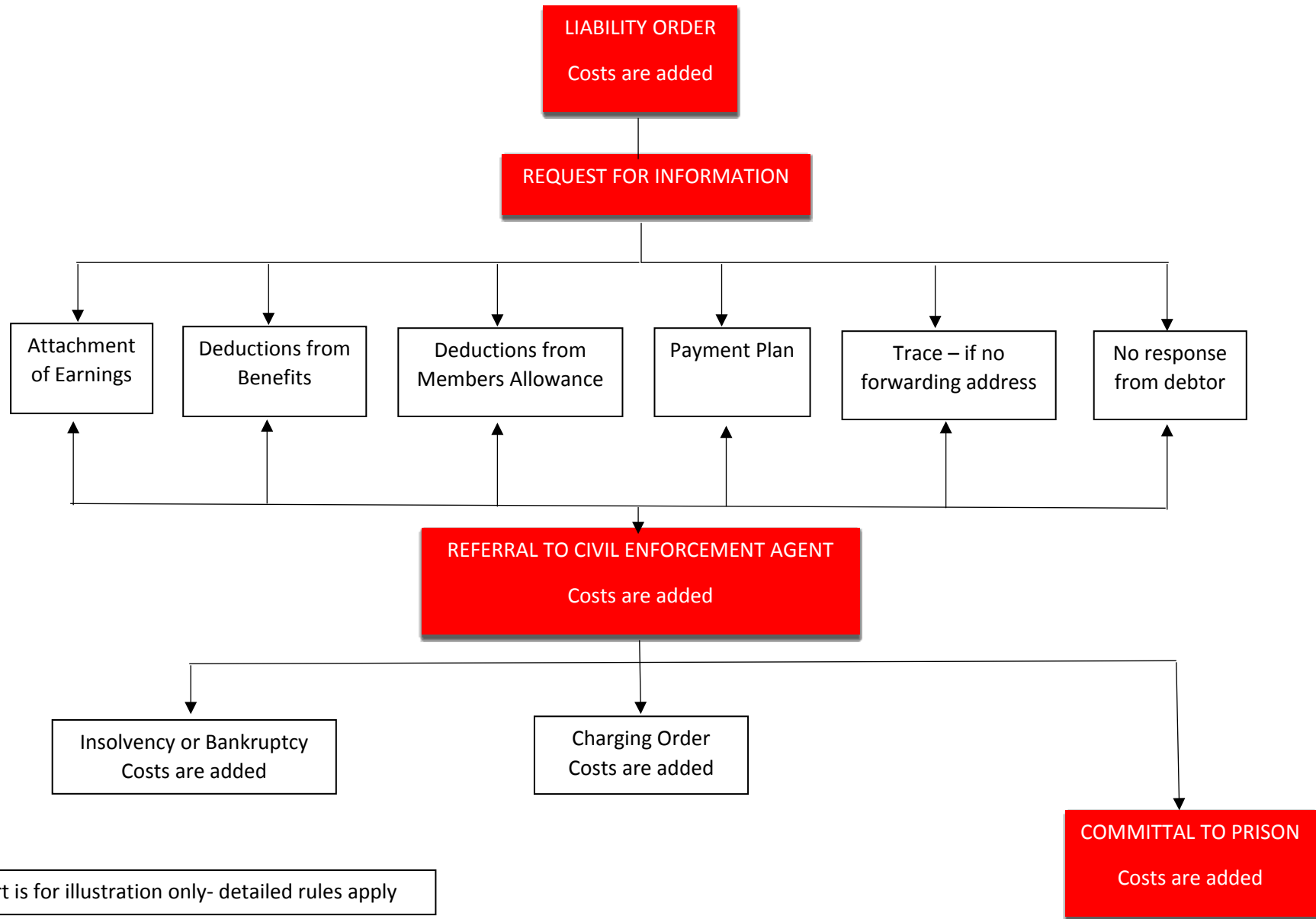
01572 722 577  
[enquiries@rutland.gov.uk](mailto:enquiries@rutland.gov.uk)  
[www.rutland.gov.uk](http://www.rutland.gov.uk)

This page is intentionally left blank

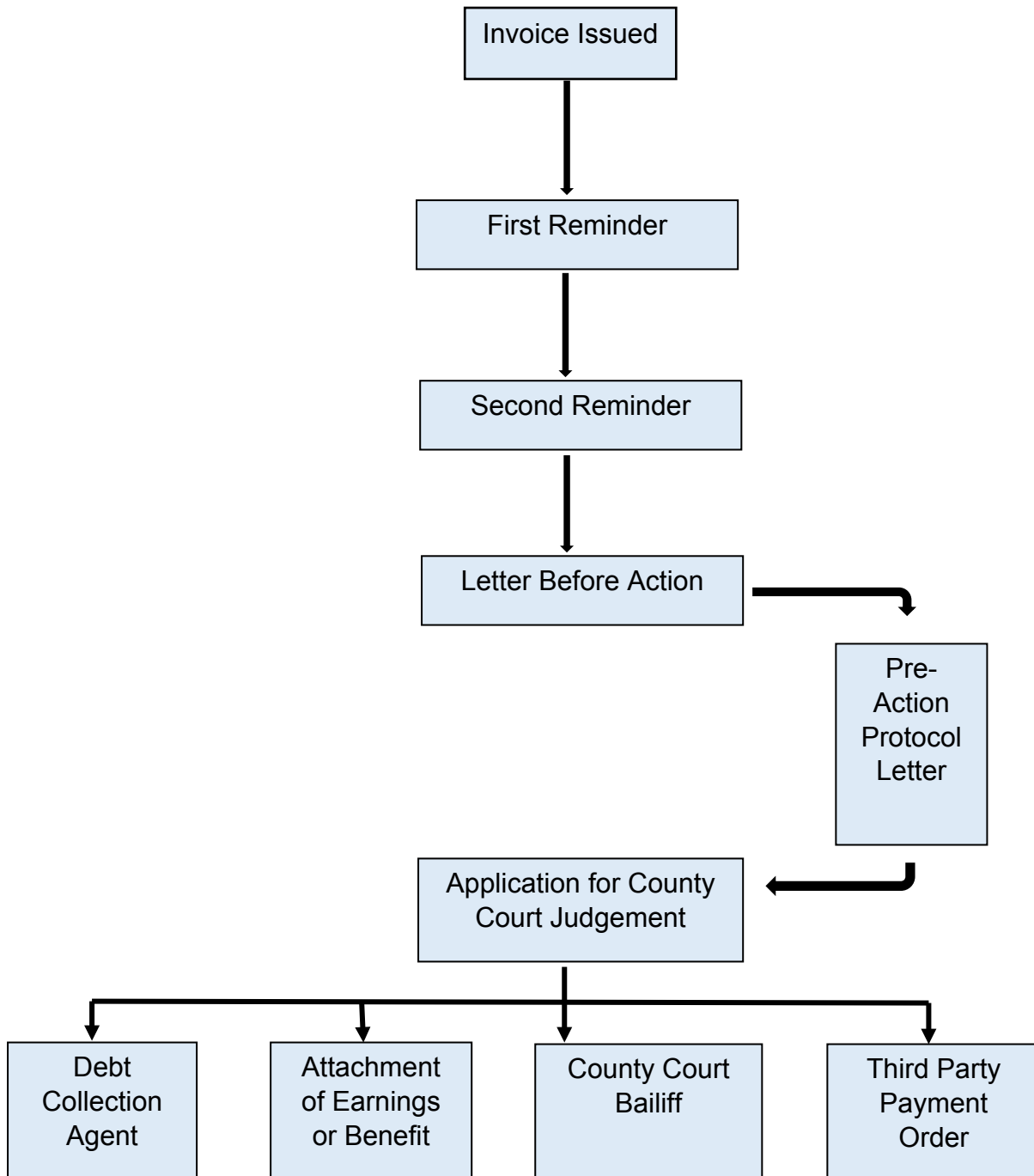


This chart is for illustration only – detailed rules apply

This page is intentionally left blank



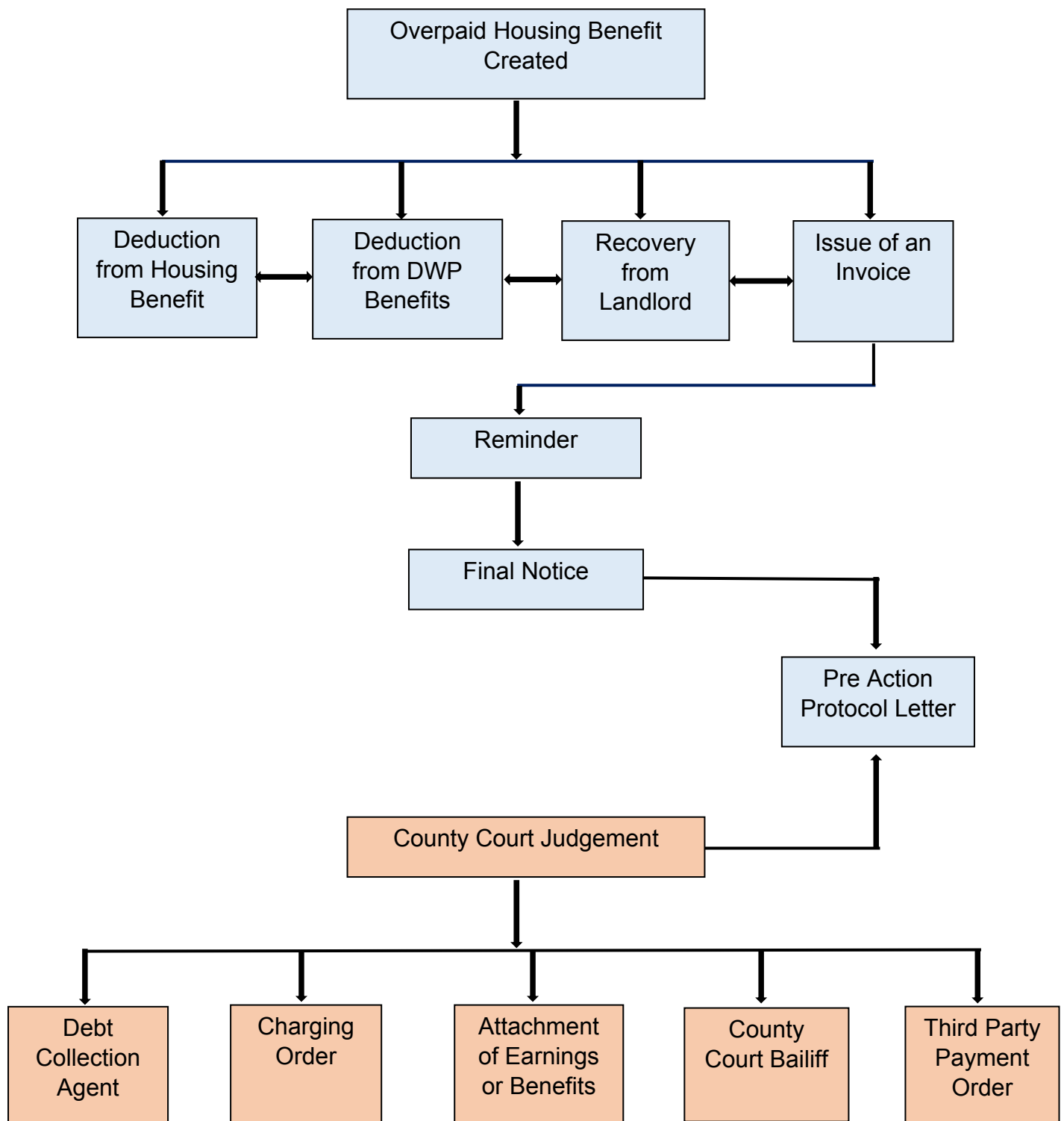
This page is intentionally left blank



This chart is for illustration only – detailed rules apply

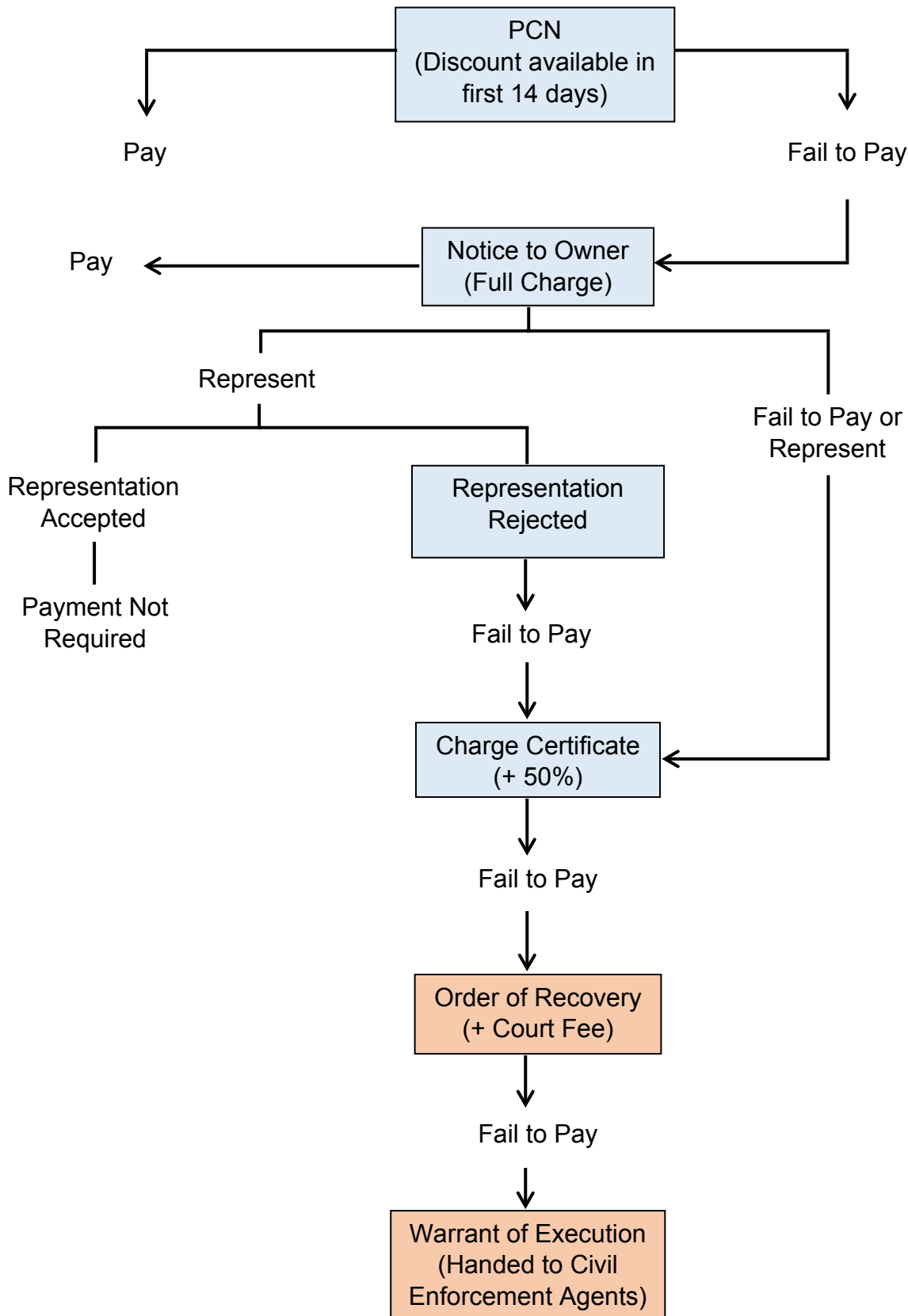
This page is intentionally left blank





This chart is for illustration only- detailed rules apply

This page is intentionally left blank



This chart is for illustration only –detailed rules apply

This page is intentionally left blank

# Council Tax Protocol

Revised Collection of Council Tax Arrears Good Practice Protocol



## Agreed by:

Citizens Advice, June 2017

Local Government Association, June 2017



# Council Tax Protocol

We agree to adopt this protocol in .....  
as our public commitment to its principles of fairness, partnership  
working and transparency in local authority debt collection:

Signature

.....

Local authority representative

Signature

.....

Local Citizens Advice / advice  
agency representative

Signature

.....

Enforcement agency  
representative

*(where relevant)<sup>1</sup>*

Signature

.....

External contractor  
representative

*(where relevant)<sup>1</sup>*

**Date:**

---

<sup>1</sup> Enforcement agents and external contactors may sign this protocol if they and the authority agree that it is appropriate.

# Council Tax Protocol

## Revised collection of council tax arrears good practice protocol

Council tax payers receive a better level of service when local authorities<sup>2</sup>, enforcement agencies and debt advice agencies work closely together. Early intervention and proactive contact with people struggling with bill payments can help prevent them incurring further charges and help alleviate stress. It can also potentially help reduce both collection costs and calls on local public services, particularly mental health services.

This good practice protocol makes a number of suggestions on how local partnerships can be strengthened and residents better supported. Developed through partnership work between the national bodies representing advice agencies, local government and enforcement agencies throughout England and Wales, it builds upon the previous protocol, which government recommended local authorities adopt in their 2013 guidance. The protocol reflects best practice at local level and is intended to facilitate regular liaison on practices and policy concerning council tax debt collection. In setting down clear procedures and keeping them regularly under review, all parties can ensure that cases of arrears are dealt with appropriately whilst complaints are handled efficiently.

By signing the protocol and adopting the practices set out below, local authorities, enforcement agencies and advice agencies can help taxpayers pay their council tax bills while accessing debt advice when needed.

---

<sup>2</sup> Where we use the term 'local authorities', this should also be read to cover a local authority's external contractors, where the local authority has contracted out the administration of some or all of its council tax collection process.

# Partnership

## To foster more effective partnership working:

1. Local authorities, enforcement agencies and advice agencies should meet regularly to discuss practical and policy issues with a recommendation to meet quarterly at officer level and annually with elected members.
2. All parties should have dedicated contacts accessible on direct lines and electronically so that issues can be taken up quickly.
3. All parties should promote mutual understanding by providing training workshops, undertaking exchange visits and sharing good practice.
4. As local authorities are responsible for the overall collections process, they should ensure all their staff, external contractors and enforcement agencies receive the appropriate training, particularly on vulnerability and hardship.
5. Advice agencies, enforcement agencies and local authorities should work together to develop a fair collection and enforcement policy, highlighting examples of vulnerable people or those who find themselves in vulnerable situations, and specifying clear procedures in dealing with them. Contractual arrangements with enforcement agents should specify procedures for the local authority to take back cases involving vulnerable people.
6. Local authorities should consider informal complaints as debtors may be afraid to complain formally where enforcement agent activity is ongoing. Informal complaints received from advice agencies can indicate problems worthy of further investigation both locally by the local authority and by referral to national bodies.



# Information

## **To improve the information supplied to council tax payers about the billing process, how to get support and debt advice and to promote engagement:**

1. All parties should work together to produce letters that clearly and consistently explain how council tax bills have been calculated (including any Council Tax Support award). Council tax bills should make clear council tax is a priority debt and explain the consequences of not making payment by the date specified. As far as possible within the constraints of systems, where a taxpayer has council tax arrears, the letters should explain how the debt has been accumulated and over which time period, the layout and language of bills and letters should be easy to understand, with any letters including a contact phone number and email address. All information should also be made available online in a clear format.
2. Local authorities should consider reviewing payment arrangements and offer more flexible options, including, subject to practicality, different payment dates within the month, spreading payments over 12 months and, potentially, different payment amounts to assist those on fluctuating incomes. This can allow people to budget more effectively.
3. Local authorities and enforcement agents should publicise local and national debt advice contact details on literature and notices. Advice agencies can help by promoting the need for debtors to contact their local authority promptly in order to agree payment plans. Parties can work together to ensure the tone of letters is not intimidating but encouraging of engagement.
4. Local authorities should ensure that enforcement agencies have appropriate information about the council tax debts they are recovering, so they can put this in letters they send to debtors and answer any questions.
5. Local authorities should consider providing literature about concerns council tax debtors may have about enforcement agents and enforcement. Information could cover charges enforcement agencies are allowed to make by law, how to complain about enforcement agent behaviour or check enforcement agent certification and further help available from the local authority or advice agencies.
6. All parties should work together to review and promote better engagement by council taxpayers. This should include information on how bills can be reduced through reliefs, exemptions and council tax support schemes, advising taxpayers that they should contact the local authority if they experience financial hardship and the consequences of allowing priority debts to accumulate. Information and budgeting tools should be made available on local authority and advice agency websites, via social media and at offices of relevant agencies. This is an opportunity for joint campaign work.

# Recovery

**If a council tax bill is not paid, then the local authority's recovery process comes into play. While local authorities strive to make early contact with a debtor, the first point of engagement by a debtor often only occurs when an enforcement agent visits the premises. Greater effort should be made at or before the Tribunal Courts and Enforcement Act's compliance stage, including debt and money advice referrals and to assess whether vulnerability or hardship applies, so as to avoid escalating a debt. Therefore:**

1. Local authorities and enforcement agencies should work in partnership with advice agencies on the content, language and layout of all documents, produced by the local authority and agents acting on its behalf which are part of the enforcement process. This should aim to ensure that the rights and responsibilities of all parties, particularly those of the debtor, are clearly set out.
2. Enforcement agents should provide the debtor with a contact number and email address should they wish to speak to the local authority.
3. Local authorities should keep all charges associated with recovery under regular review to ensure they are reasonable and as clear and transparent as possible and reflect actual costs incurred. Enforcement agents should only make charges in accordance with council tax collection and enforcement regulations, particularly the Tribunal Courts and Enforcement Act.
4. Local authorities should periodically review their corporate policy on debt and recovery, particularly what level of debt (inclusive of liability order fees) should have accrued before enforcement agent action, as enforcement will add additional costs to a debt.
5. As part of their corporate policy on debt and recovery, local authorities should have a process for dealing with cases that are identified as vulnerable, bearing in mind that different local authorities may have different definitions of a vulnerable person or household. Any local definition of vulnerability should be developed in consultation with advice agencies and enforcement agencies and, wherever possible, the local authority should aim to publish clear guidelines on what constitutes vulnerability locally. Where a local authority's vulnerability criteria apply, In these cases, debts should be considered carefully before being passed to enforcement agencies. Where enforcement agents or other parties identify a vulnerable household, recovery action will be referred to the local authority.
6. Local authorities should regularly review and publish their policies which cover hardship, including how these relate to council tax arrears.

7. Where a household is in receipt of Council Tax Support, the local authority should consider matters carefully and determine whether to pass such cases to enforcement agents, based on the individual circumstances of the case.
8. The debtor may have outstanding claims for Universal Credit, Council Tax Support or other benefit(s) which are contributing to their arrears. Local authorities can suspend recovery once it is established that a legitimate and relevant claim is pending.
9. Local authorities and their enforcement agents should consider offering a 28 days hold or “breathing space” on enforcement action if debtors are seeking debt advice from an accredited advice provider.
10. Procedures should exist for debt advisers to negotiate payments on behalf of the taxpayer at any point in the process, including when the debt has been passed to the enforcement agent. In some cases, the debtor may only contact an advice agency following a visit from the enforcement agent.
11. Local authorities and enforcement agents should consider accepting and using the Standard Financial Statement (SFS) or Common Financial Statement in assessing ability to pay as long as this is consistent with securing value for money for all council tax payers.
12. Each case should be examined on its merits and repayment arrangements need to be affordable and sustainable, while ensuring that the debt is paid off within a reasonable period. Where appropriate, local authorities should provide the flexibility to spread repayments over more than a year, including beyond the end of a financial year.
13. Local authorities should prioritise direct deduction from benefits or attachment of earnings in preference to using enforcement agents. This avoids extra debts being incurred by people who may already have substantial liabilities.
14. Clarity should be provided to the debtor and enforcement agency as to which debts are being paid off, in what amounts and when, especially where a debtor has multiple liability orders. Where appropriate, debts should be consolidated before being sent to enforcement agents.
15. Local authorities should publish a clear procedure for people to report complaints about all stages of recovery action. Local authorities will regularly monitor and, subject to requirements of commercial confidentiality and the Data Protection Act, publish the performance (including complaints) of those recovering debts on their behalf and ensure that contractual and legal arrangements are met.

# Free, confidential advice. Whoever you are.

We help people overcome their problems and campaign on big issues when their voices need to be heard.

We value diversity, champion equality, and challenge discrimination and harassment.

We're here for everyone.



**[citizensadvice.org.uk](https://citizensadvice.org.uk)**

Published June 2017

Citizens Advice is an operating name of The National Association of Citizens Advice Bureaux.

Registered charity number 279057.

## **CABINET**

**16 October 2018**

### **RUTLAND COUNTY MUSEUM & CATMOSE COTTAGE ROOF WORKS**

#### **Report of the Strategic Director for Places**

Strategic Aim:	Sustainable Growth	
Key Decision: Yes	Forward Plan Reference: FP/280618	
Reason for Urgency:	N/A	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr G Brown, Deputy Leader and Portfolio Holder for Planning, Environment, Property and Finance.	
Contact Officer(s):	Andrew Edwards, Head of Property Services	01572 758391 aedwards@rutland.gov.uk
Ward Councillors	Councillor B Callaghan Councillor A Lowe	

#### **DECISION RECOMMENDATIONS**

That Cabinet:

Approves the release of up to £15k of funds from Section 106 Contributions to support the design and development of the tender package for the repair and replacement of the roof of Rutland County Museum and Catmose Cottage.

1. Delegate authority to the Head of Property Services in consultation with the Portfolio Holder for Regulatory Services, Waste Management, Planning Policy and Operations, Property Services, Finance including Revenues and Benefits and Internal Audit and the Director of Resources to determine a procurement route, award criteria and issue and receive tenders (if applicable) for the design works, and if suitable suppliers are identified move forward and award a contracts for all design works necessary to repair and replace the roof over Rutland County Museum and Catmose Cottage.
2. Delegate authority to the Head of Property Services in consultation with the Portfolio Holder for Regulatory Services, Waste Management, Planning Policy and Operations, Property Services, Finance including Revenues & Benefits and Internal

Audit and the Director of Resources to determine a procurement route, award criteria and issue and receive tenders (if applicable) for the construction works.

3. To note that a further report will be submitted at a future date seeking authorisation of the release of funds necessary for the completion of the works Endorses...

## **1 PURPOSE OF THE REPORT**

- 1.1 To approve the release of up to £15k of funding which will allow the preparation of the tender package for the repair and replacement of components of the roof covering Catmose Cottage and the Rutland County Museum.
- 1.2 This will allow tenders to be sourced from potential contractors thereby reducing risks for the Council when a second report is presenting to Cabinet requesting the release of funds for the construction works.
- 1.3 The delegation of authority to the Head of Property Services in consultation with the Portfolio Holder and Director of Resources authority to proceed and appoint a designer to undertake the works with the minimum of delay will ensure that the Council are in a position to award works to start in Spring 2019.
- 1.4 Whilst the request to release £15k of funds and delegation to appoint a designer would not normally require Cabinet approval it should be noted that this has the potential to be part of a larger project. This larger project has an approximate value of £130k subject to the outcome of the design works which will require Cabinet approval.
- 1.5 In addition, this report is requesting that Cabinet delegate authority to the Head of Property Services in consultation with the Portfolio Holder and Director of Resources to determine the procurement route and award. This will allow contractors to submit tenders for the works thereby providing actual project costs. This will give certainty when requesting authority from Cabinet to releases the funds.

## **2 BACKGROUND AND MAIN CONSIDERATIONS**

- 2.1 The building currently occupied by Rutland County Museum was built in 1794-95 as a Riding School for the Rutland Fencible Cavalry. It was built by Colonel Gerard Noel Edwards MP, who also built and lived in Catmose Lodge, now the County Council's headquarters. It continued to be used by local military units, including the Leicestershire Yeomanry, until after the Great War, during which it housed the King of Belgium's carriages.
- 2.2 The Riding School was gifted to Rutland County Council in 1967 by Gerard Noel Edwards' descendant Charles Noel for use as a museum. The Riding School has a unique roofing construction, described by Pevsner as "spectacular roof trusses with central king posts, plus paired crown-post arrangement" which supports a wide roof span, designed to allow the exercise area for horses to be completely covered without obstructions on the ground.
- 2.3 The building was mostly constructed from local materials, including stone from Barleythorpe, roof tiles from Grantham, and timber from Stamford. The massive

deal timbers of the roof however came from the Baltic, transported by sea to Hull, then to Spalding, and then by boat up the Welland to Stamford. The building also includes Catmose Cottage, which was the Officer's Quarters, and a stable block, armoury & stores, which now form the entrance to the Museum and first floor offices.

- 2.4 The unique nature of the building led to it being registered as a Grade II Listed Building in 1971, defined as "buildings that are of special interest, warranting every effort to preserve them". The building's listing includes Catmose Cottage, the Riding School and the stable block.
- 2.5 Over the years a piecemeal approach has been taken to repairs, addressing issues that arise as small one off works. Over the last 3 years approximately £12.5k has been spent addressing these issues but the roof has deteriorated to a point where it no longer makes economic sense to continue with this approach....

### 3 SCOPE OF THE WORKS

- 3.1 In the summer of 2017 a condition report was commissioned for the roof. This concluded that there were a series of works that were required see table below:

Works Required
Repairs to existing coverings
Re-Roofing of 3 Dormers
Re-Roofing of section of internal roofing
Lead cappings to stonework gable
Replacement of Valley Sections
Replacement of Guttering and external Rain Water Goods
Chimneys and Brickwork

- 3.2 These works were identified following an external inspection with minimal intrusive investigation. To maximise cost certainty it is proposed that the works are fully scoped and that tenders are invited from potential contractors. It is proposed that a second report is presented to Cabinet seeking approval for the release of the funds, when known, to undertake the works.

### 4 PLANNING CONSIDERATIONS

- 4.1 Given that this is a Grade 2 listed asset it will be necessary to submit an application for listed building consent. This is not anticipated to be an issues as the proposals involve replacing where practicable 'like-for-like'.

### 5 CONSULTATION


- 5.1 Consultation has taken place internally with Senior Elected members, Finance and Legal Services. Comments are included within this report.

## **6 ALTERNATIVE OPTIONS**

- 6.1 This report seeks the release of funds to support the further development of design solution and tender of the works to obtain an accurate cost.
- 6.2 The only other option would to request the delegation of full estimated cost. However this approach carries significant risk as we would be requesting funds based upon an initial estimate based on a visual inspection and may not reflect tender prices. This approach could involve a second Cabinet report requesting additional funds.

## **7 FINANCIAL IMPLICATIONS**

- 7.1 This report seeks the release of up to £15k from S106 receipts to support the design of the works and to obtain accurate costs for the full scope of works discussed in Section 3. This will provide sufficient funds should any additional attendance works e.g. scaffolding or an inspection tower be required to fully access the roof.
- 7.2 In identifying this funding source a number of options have been considered. These included:

<b>Funding Source</b>	<b>Council Holding Sufficient Funding</b>	<b>Commentary</b>	<b>Preferred Option</b>
Section 106	Yes	Appropriate S106 has been identified and could be used to fund the works.	
Capital Receipts	No	The Council are not holding sufficient Capital Receipts to fund the project	
Borrowing	N/A	Would incur additional costs to the revenue budget, although the impact would be low for the initial works the full cost circa £130k would cost circa £5k per annum for 25 years	
Hawkesmead	Yes	Flexible funding and could be used.	

The preferred option is S106 as no approved projects would be affected and we have worked with Planning and legal to identify suitable S106 agreement(s) that can fund the work.



7.3 The total overall project cost is currently estimated as being circa £130,000 including design, works and contingencies. However this is a preliminary cost at the moment and will be further refined based upon the recommendations set out in this report.

7.4 The budget report (8/2018, 20th February 2018) indicated that condition surveys were to be carried on all Council owned assets (para 4.5.4), these work continue but the roof works are essential and need completing prior to the completion of the estate wide survey works.....

## **8 LEGAL AND GOVERNANCE CONSIDERATIONS**

8.1 The works will be procured in accordance with Contract Standing Orders.

## **9 DATA PROTECTION IMPLICATIONS**

9.1 A Data Protection Impact Assessments (DPIA) has not been completed for the following reason: This report only requests approval for the release of funding so an assessment is not required in this case.

## **10 EQUALITY IMPACT ASSESSMENT**

10.1 This reports seeks approval for the release of funds. There is no requirement for an EIA.

## **11 COMMUNITY SAFETY IMPLICATIONS**

11.1 There are no Community Safety Implications.

## **12 HEALTH AND WELLBEING IMPLICATIONS**

12.1 There are no Health and Wellbeing Implications.

## **13 ORGANISATIONAL IMPLICATIONS**

13.1 There are no organisational implications. Repairs to the roof can be undertaken with little disruption to the day to day operations of the museum.

## **14 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

14.1 The approach proposed within the report will ensure that there is an approach adopted to the roof that will ensure its long term future irrespective of the use of the building.

14.2 In addition true costs will be determined following tender enabling an accurate figure to be requested from Cabinet.

## **15 BACKGROUND PAPERS**

15.1 There are no additional background papers to the report.

## **16 APPENDICES**

16.1 There are no Appendices.

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

## **CABINET**

**16<sup>th</sup> October 2018**

### **PROGRESS UPDATE ON ST GEORGE'S BARRACKS**

#### **Report of the Chief Executive**

Strategic Aim:	All	
Key Decision: No	Forward Plan Reference: FP/280918	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr O Hemsley, Leader and Portfolio Holder for Rutland One Public Estate & Growth, Tourism & Economic Development, Resources (other than Finance)	
Contact Officer(s):	Helen Briggs, Chief Executive	01572 758201 hbriggs@rutland.gov.uk
Ward Councillors	Normanton - Mr K Bool and Miss G Waller	

#### **DECISION RECOMMENDATIONS**

1. That Cabinet notes the progress update in respect of the St George's Barracks Project.
2. That Cabinet supports the submission of a business case for Housing Infrastructure Funding in response to the Homes England letter of 20<sup>th</sup> March 2018.
3. That Cabinet supports the submission of an Expression of Interest to the GCGP LEP for Growth Funding and if successful at EOI stage a business case for funding to support the St George's Garden Community - Business Zone by 30<sup>th</sup> November 2018.
4. That Cabinet supports an expression of interest to the One Public Estate programme by 30<sup>th</sup> November 2018.

## **1 PURPOSE OF THE REPORT**

- 1.1 The purpose of this report is to provide Cabinet with a progress report on the St George's Barracks project further to the report of March 2018.

## **2 BACKGROUND AND MAIN CONSIDERATIONS**

- 2.1 The St George's Barracks project is a significant project for the County Council and the County as a whole. This report provides a summary of progress to date and an indication of the work which will be undertaken for the rest of 2018. It will include updates on:
- One Public Estate – St George's is a project within the Rutland One Public Estate Programme
  - Housing Infrastructure Fund
  - Master planning and viability
  - The St George's Advisory Group
  - The Local plan process
  - The Officers Mess project
  - The Governments Garden Community programme
  - Greater Cambridgeshire Greater Peterborough Local Enterprise Partnership Growth Fund

## **3 ONE PUBLIC ESTATE (OPE) – ST GEORGE'S**

- 3.1 Support continues from the Local Government Association (LGA) and the Cabinet Office through membership of the One Public Estate Programme. Support includes representation on our ROPE Board and advice on our projects including St George's.
- 3.2 Most recently the ROPE programme have supported visits to look at off-site development capabilities. A visit to an off-site manufacturing facility ILKE Homes at Knaresborough took place on 18<sup>th</sup> September 2018. This was an opportunity to see first-hand the process, designs and output. Potential to utilise Off-site development continues to be explored in relation to the St George's project. Our MOD partners on the St George's project also attended the visit.
- 3.3 Funding to date received to support the St George's project totals £187,500<sup>1</sup>. £12,500 to support feasibility work and £175,000 to support master planning and associated activity.
- 3.4 A further round of £15m funding through OPE was announced 28<sup>th</sup> September 2018. Expressions of interest are invited. The emphasis for this round of funding is on increasing the housing supply. The deadline for submissions is 30<sup>th</sup> November

---

<sup>1</sup> A further £87,500 has been received for the Rutland Hub project

2018.

- 3.5 Cabinet are requested to support the submission of an expression of interest for further OPE funding to support the St George's project. This does not commit the Council to anything. If the Council is successful then OPE will present the Council with an offer. It is only if Cabinet / Council accept the terms does the Council enter into a commitment.
- 3.6 Following a recent visit to Rutland by Lincolnshire County Council and West Lindsey District Council to share experiences of MOD sites a proposal has been put to the Cabinet Office / LGA about a networking group for Councils with redundant MOD sites.

#### **4 HOUSING INFRASTRUCTURE FUND**

- 4.1 The St George's Barracks project (incorporating the Officers Mess site) has been successful at the expression of interest stage for support from the Housing Infrastructure Fund (HIF). The next stage to secure financial support is the co-development of a business case. This will be done led by RCC with support from:
- Homes England
  - RegenCo
  - MOD
  - Highways England
  - Stakeholders on the St George's project
- 4.2 Monthly progress meetings are now taking place and a range of meetings with Homes England consultants to assist in the preparation of our business case.
- 4.3 HIF funding is available to support the preparation of the HIF business case. A submission for support has been submitted and we are awaiting the outcome. A verbal update will be given at the meeting should the position have changed.
- 4.4 Cabinet are reminded that the HIF process is a competitive one and there is no guarantee of success.
- 4.5 The HIF business case will be aligned to the St George's master plan and viability at all stages.
- 4.6 Cabinet are requested to support the submission of the HIF business case. The submission does not commit the Council to anything. If the business case is supported Home England will present the Council with an offer and grant conditions. It is only if the Council accept these conditions that the Council will then enter into a commitment. The HIF business case will be presented to Cabinet in draft form on 30<sup>th</sup> October 2018 and in final form on 20<sup>th</sup> November 2018. At this stage Cabinet is being asked only to support the decision to submit a business case.

#### **5 MASTER PLANNING AND VIABILITY**

- 5.1 Cabinet endorsed the revised recommendations at its meeting on 18<sup>th</sup> September. Work on the next evolution of the Master plan is on-going and will be presented to Cabinet at its meeting in draft form on 30<sup>th</sup> October 2018 and in final form on 20<sup>th</sup>

November 2018.

- 5.2 The next 'evolving' master plan and the HIF Business Case will be presented to Cabinet and Council at the same time based on the following timetable:

<b>Scrutiny/Cabinet / Council</b>	<b>Date</b>
Growth, Infrastructure & Resources Scrutiny Panel	11 <sup>th</sup> October 2018
Cabinet	30 <sup>th</sup> October 2018 20 <sup>th</sup> November 2018
Council	26 <sup>th</sup> November 2018

## **6 ST GEORGE'S ADVISORY GROUP**

- 6.1 Four meetings have now taken place. The most recent meeting was an opportunity to discuss the impact on the Local Plan, National Planning Policy Framework, the Local Plan process and updates on the on-going work.

## **7 THE LOCAL PLAN PROCESS**

- 7.1 Cabinet received a report on the Local Plan process and St George's on 31st July 2018. Consultation has now concluded and the results being assessed further to a report being presented to Cabinet on 30<sup>th</sup> October 2018.

## **8 THE OFFICERS MESS PROJECT**

- 8.1 Work on the Officers Mess site continues in line with the programme. Currently work is being progressed on initial concepts for the site and project viability. Progress was reported to the St George's Advisory Group at its meeting 30<sup>th</sup> August 2018.
- 8.2 Work is also on-going to incorporate the site within the Local Plan process.

## **9 GARDEN COMMUNITY PROGRAMME**

- 9.1 In August 2018 the Governments Ministry for Housing, Communities and Local Government (MHCLG) issued a prospectus for Garden Communities. It is anticipated that the Council will submit an expression of interest for the St George's project. A further discussion with MHCLG to update them on our progress. Cabinet at its meeting on 18<sup>th</sup> September supported in principle a submission by the Council and this is now being prepared. It is anticipated that the submission will focus on:
- The 'unique' characteristics of the site – the Heritage site, the Minerals Extraction area and the MOD connections.

- The evolving master-plan also includes the development of a Country Park. So a key element will be the governance, stewardship and building the community before during and after the development. This in the context of two neighbouring villages and Parish boundaries that bisect the site.

9.2 In addition funding will be sought to fund:

- Visits to Garden Communities to explore the good and bad points and what we can learn from them;
- Workshops with local community leaders to explore:
  - the governance and stewardship options and models
  - Capacity building for Community projects e.g. Community facilities and a heritage centre
- Supporting the evolving masterplan in relation to stewardship and governance

## **10 GREATER CAMBRIDGESHIRE GREATER PETERBOROUGH LOCAL ENTERPRISE PARTNERSHIP (GCGPLEP) – GROWTH FUND**

- 10.1 Expressions of interest (EOI) are likely to be invited from 8<sup>th</sup> October for Growth Funding from the GCGP LEP.
- 10.2 Circa £57m is available in total and £39m specifically for Major Projects ie those in excess of £3m. The St George's project can potentially meet the required criteria ie job creation, business start-up's and new homes. The funding could be either grant or loan and funding indicated is at a level of £5k per job created.
- 10.3 It is therefore proposed that an EOI is submitted to support the creation of a Business Zone within the proposed new Garden Community at St George's. Further if the EOI is successful that a business case be submitted in advance of the likely deadline of 30<sup>th</sup> November 2018. The EOI and the submission of the business case do not commit the Council to anything. If the EOI and Business Case are successful the GCGP LEP will provide Grant / Loan conditions that will require the approval of Cabinet and Council.
- 10.4 The work required to support the EOI / Business Case will be funded from funding previously allocated to the St George's Project and delegated to the Chief Executive. It is not anticipated that the value of work will exceed £20k. Cabinet will be advised regularly of progress should approval to progress be in place.

## **11 CONSULTATION**

- 11.1 Non statutory consultation in relation to the High Level Master Plan for St George's has now finished. The analysis of the responses and all of the responses have been shared and are available on our web site.
- 11.2 The St George's Advisory Group will also support on-going engagement with Parish Council's and the sub group work on the Officers Mess.
- 11.3 There is significant engagement on-going with the local business community, the education sector and a wider stakeholder group including utilities, neighbouring

councils and developers

## **12 ALTERNATIVE OPTIONS**

- 12.1 This is a progress report so this element is not relevant to most of the report.
- 12.2 Cabinet is asked to support the HIF Business Case submission. As noted in para 4.6, further approval will be sought in due course.

## **13 FINANCIAL IMPLICATIONS**

- 13.1 There are no direct financial implications arising from this report.
- 13.2 Expenditure to date on the St George's project has been fully funded (other than Officer time) by the One Public Estate Programme or contributions from the MOD.
- 13.3 The Officers Mess report was the subject of a Report 54/2018 to Cabinet on 20th March 2018 which identified in detail the financial implications.

## **14 LEGAL AND GOVERNANCE CONSIDERATIONS**

- 14.1 There are no legal or governance implications arising directly from this report. Our Finance procedure rules (para 6.2) allow for an Expression of Interest or in this instance a business case to be submitted as long as it doesn't commit us to anything. If the Business case is successful Cabinet will be asked to support acceptance of any funding etc.

## **15 DATA PROTECTION IMPLICATIONS**

- 15.1 A data protection impact assessment has not been completed as there are no data protection implications.

## **16 EQUALITY IMPACT ASSESSMENT**

- 16.1 Not relevant for a progress report.

## **17 COMMUNITY SAFETY IMPLICATIONS**

- 17.1 None

## **18 HEALTH AND WELLBEING IMPLICATIONS**

None

## **19 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

- 19.1 Progress on the project is in line with the programme.

## **20 BACKGROUND PAPERS**

- 20.1 None



## **21 APPENDICES**

### **21.1 None**

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

