

# AGENDA

## Cabinet

Date: **Thursday 21 November 2013**

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Time: **2.00 pm**

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Place: **The Council Chamber, Brockington, 35 Hafod Road,  
Hereford**

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Notes: Please note the **time, date** and **venue** of the meeting.

For any further information please contact:

**Governance Services**

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# **Agenda for the Meeting of the Cabinet**

## **Membership**

### **Chairman**

**Councillor AW Johnson**

**Councillor H Bramer**

**Councillor JW Millar**

**Councillor PM Morgan**

**Councillor GJ Powell**

**Councillor PD Price**

## AGENDA

Pages

### HEREFORDSHIRE COUNCIL

Notice has been served in accordance with Part 3, Section 9 (Publicity in connection with key decisions) of The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012.

Item No	Title	Portfolio Responsibility	Scrutiny Committee	28 Day Notice Given
6	<b>Children with Disabilities: Short breaks and Respite service provision</b>	Young People and Children's Wellbeing	Health & Social Care Overview and Scrutiny	Yes – on 11/10/13

**1. APOLOGIES FOR ABSENCE**

To receive any apologies for absence.

**2. DECLARATIONS OF INTEREST**

To receive any declarations of interest by Members in respect of items on the Agenda.

**3. MINUTES**

To approve and sign the Minutes of the meeting held on 24 October 2013.

5 - 6

**4. CORPORATE PERFORMANCE REPORT 2013/15: QUARTER 2**

To review performance for the first half of 2013-14 and agree any further actions arising to address performance issues.

7 - 18

**5. BUDGET MONITORING REPORT**

To provide Cabinet with assurance on the robustness of budgetary control and monitoring across the Council, to highlight key financial risks within directorates and identify mitigation to bring the authority within its overall approved budget.

19 - 58

**6. CHILDREN WITH DISABILITIES: SHORT BREAKS AND RESPITE SERVICE PROVISION**

To seek approval to commit Council funding of up to £1.3m (£443k per annum) over the next three years in the procurement of services for children and young people with disabilities. This is part of a £3.3m (£1.1m per annum) pooled budget between Herefordshire Council and the Clinical Commissioning Group (CCG).

59 - 110

**7. EXECUTIVE ROLLING PROGRAMME**

To review the Executive Rolling Programme.

111 - 122



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## **HEREFORDSHIRE COUNCIL**

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HEREFORDSHIRE COUNCIL

**MINUTES of the meeting of Cabinet held at The Council Chamber, Brockington, 35 Hafod Road, Hereford on Thursday 24 October 2013 at 2.00 pm**

**Present:** Councillor AW Johnson (Chairman)

**Councillors:** H Bramer, JW Millar, PM Morgan, GJ Powell and PD Price

**In attendance:** Councillors WLS Bowen, AJW Powers, TM James, A Seldon, J Hardwick, EPJ Harvey and RI Matthews

**37. APOLOGIES FOR ABSENCE**

Apologies were received from Councillor RJ Phillips.

**38. DECLARATIONS OF INTEREST**

There were no declarations of interest.

**39. MINUTES**

**RESOLVED:** That the Minutes of the meeting held on 19 September 2013 be approved as a correct record and signed by the Chairman.

**40. BUDGET MONITORING REPORT**

Cabinet considered a report providing assurance on the robustness of budgetary control and monitoring across the Council, highlighting key financial risks within directorates and identifying mitigation to bring the authority within its overall approved budget.

Group Leaders questioned the Cabinet, in detail, on various items within the report and the appropriate Cabinet Member responded.

**RESOLVED:**

**That (a) the projected overspend of £3.9m for 2013/14 and the potential impact on reserves and the 2014/15 budget, be noted; and**

**(b) the continuing action by Directors to identify further financial savings to mitigate the impact, be supported; and**

**(c) Directors and financial resources are focussed on identifying savings for the remainder of 2013/14 and future savings for 2014/15 to 2016/17.**

**41. SERVICE AND BUDGET PLANNING**

Cabinet was asked to note the outcome of the recent review of the Council's priorities; and to confirm the budget and corporate planning arrangements for 2014/15 in light of the ongoing significant financial challenge.

**RESOLVED:**

- That (a) in light of the outcome of the review of the Council's priorities, no changes to the Corporate Plan 2013/15 be recommended to Council;
- (b) the timetable for budget setting, including consultation arrangements as set out at Appendix B to the report be approved; and
- (c) the Chairmen of the two overview and scrutiny committees be invited to build into their workplans consideration of the budget proposals.

**42. DIRECTOR OF PUBLIC HEALTH ANNUAL REPORT**

Cabinet considered the statutory annual report of the Director of Public Health on the health of people of Herefordshire; three priority areas for improving the health of the population and reducing inequalities in health; and a proposal that the recommended approach and actions highlighted in the report will inform service development and commissioning aimed at improving the health and wellbeing of the population of Herefordshire.

A discussion took place and the Director of Public Health responded to questions.

**RESOLVED:**

- That (a) the Director of Public Health Annual Report 2013 be received by the Council and published as required by the Health and Social Care Act 2012;
- (b) the three priorities and recommendations of the Annual Report, which have links to the Health & Wellbeing Strategic Approach and the council's priority to enable people to be independent and lead fulfilling lives, be noted; and
- (c) the report's recommendations and the proposed approach and actions highlighted in the report, be used to inform service development and commissioning during the next planning cycle and in the medium term.

**43. ADULT SOCIAL CARE IN HEREFORDSHIRE: LOCAL ACCOUNT 2012-13**

Cabinet was asked to approve publication of the Local Account of Adult Social Care and Support 2012-13.

**RESOLVED:** That the draft Local Account (at Appendix A to the report) be approved for publication.

The meeting ended at 3.04 pm

**CHAIRMAN**





<b>MEETING:</b>	<b>CABINET – CORPORATE SERVICES</b>
<b>MEETING DATE:</b>	<b>21 NOVEMBER 2013</b>
<b>TITLE OF REPORT:</b>	<b>CORPORATE PERFORMANCE REPORT 2013/14: QUARTER 2</b>
<b>REPORT BY:</b>	<b>ASSISTANT DIRECTOR ORGANISATIONAL DEVELOPMENT</b>

## 1. Classification

Open

## 2. Key Decision

This is not a key decision.

## 3. Wards Affected

County-wide

## 4. Purpose

To review performance for the first half of 2013-14 and agree any further actions arising to address performance issues.

## 5. Recommendation(s)

**THAT: Performance for the first half of 2013/14 be considered.**

## 6. Alternative Options

6.1 Cabinet may choose to review performance more or less frequently than quarterly; Cabinet may request alternative actions to address any identified areas of under-performance.

## 7. Reasons for Recommendations

7.1 To provide assurance that progress is being made towards achievement of the agreed outcomes and service delivery targets, and that the reasons for important areas of actual or potential under-performance are understood and are being addressed to the Cabinet's satisfaction

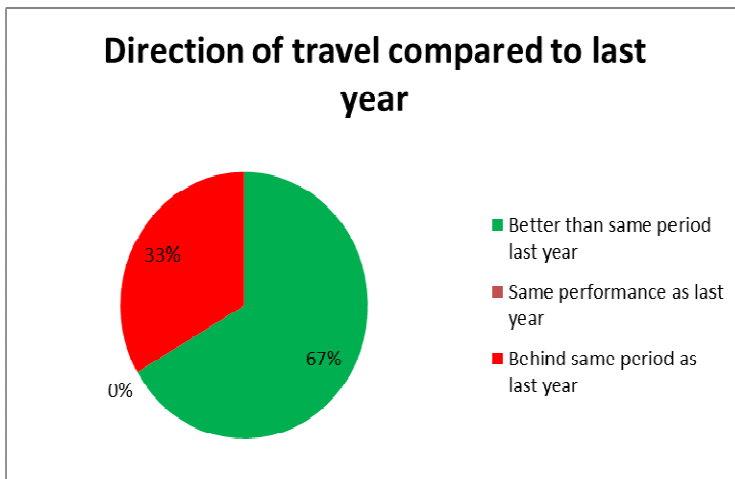
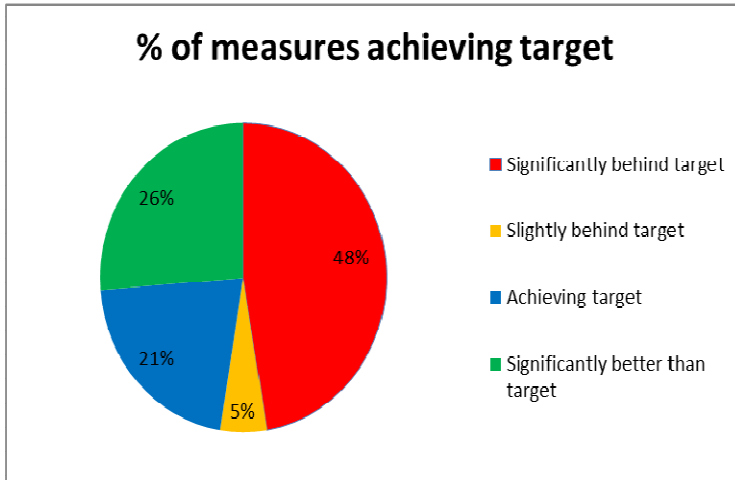
## 8. Key Considerations

8.1 Council approved the Corporate Plan 2013-15 in November 2012, framed around the two key priorities of: creating and maintaining a successful economy; and enabling residents to be independent and lead fulfilling lives with resources focussed on supporting the most vulnerable; the supporting delivery plan for 2013/14 was approved by Cabinet in March.

8.2 Progress is measured through a number of selected critical performance indicators. These critical performance measures have been selected not only because they illustrate progress towards achievement of the priorities, but also because they

provide an overview of performance of the council from a resident's perspective. Where monitoring information is available on an annual basis these indicators will only be reported at the point that the information becomes available. A table identifying performance of those measures reported in-year is attached at Appendix A. An overview of key performance issues within the two corporate priorities and customer service is below.

**Overview**



- 8.3 For those measures where data is available and targets have been set, 47% are achieving or exceeding target (43% at Q1).
- 8.4 Where comparison can be made with last year's performance, 67% of measures are improving (46% at Q1).
- 8.5 The above performance is being achieved with a predicted overspend of £3.3m at the end of September (£3.9m at end of August).

**Create and maintain a successful economy**

*Performance Challenges*

- 8.6 There is an issue with the number of planning applications being dealt with within the timescales. This is being closely monitored. Although the increase in major applications and associated fee income is welcomed, it has, however had an associated impact on capacity. This situation will need to be addressed within the context of the Government's evolving policy position on planning standards and fees.
- 8.7 The performance data for the number of additional homes provided is not yet available, and was expected in July. Work towards an on-going 5 year housing land supply in connection with various planning appeals has delayed progress, therefore

the 2012/13 outturn, along with 2013/14 target will not be available until 31st October.

- 8.8 Key projects relating to waste disposal and waste collection were to be presented to Cabinet in October; however this has been postponed whilst the Council negotiate agreement with HM Treasury and DEFRA on suitable financial arrangements.
- 8.9 The target for the percentage of the working age population in employment, as it currently appears in the Economic Development Strategy 2011-16, is for Herefordshire's outturn to be at least 5% above England's rate each year, moving to 6% by 2015. Whilst employment rates have risen in the last quarter, they are still marginally below levels at the same period last year, and the gap between regional and national rates has reduced. However, it has been recognised that the focus should be on the economic well-being in the County as opposed to whether or not outturn is 5% above the national level. Therefore, as part of the current refresh of the Strategy, a different, more local set of indicators will be produced which will more accurately reflect the proposed way forward in the County.
- 8.10 Whilst the percentage of those in employment is holding relatively steadily at present, the September figures for NEET (Not in Education, Employment or Training) are exceptional due to young people leaving courses in the summer and the September destinations not yet having been finalised. The November target for unknowns is 6% and the Council has changed its processes with providers to achieve this target. The NEET target for November is 8%. Management Board recognises that this is a key issue for the whole Council, and part of the picture of employment in Herefordshire. This may appear relatively positive, overall, but is a key issue for young adults in Herefordshire and will be addressed by having a whole Council focus on improvement, as part of our approach to the economy.

Risks:

- 8.11 The Welfare Reform Act 2013 introduced a number of changes to benefits / Council Tax support, could negatively impact on the local economy and vulnerable people (children and adults). The impact at an organisational level is being monitored under the following four headings, the impact at an individual level is not currently understood:
- Council Tax Reduction: changes in legislation meant support for Council Tax was localised and central government funding was reduced by 10%. Whilst protection was provided for pensioners, the Council reduced its maximum liability Council Tax Reduction to 91.5%, meaning that every working age claimant had to pay a minimum of 8.5%, higher than in previous years.  
As at the end of September overall collection rates have remained broadly unchanged (59.03% against 58.97% as at the end of September 2012). This has been achieved through strong debt management, which has resulted in additional cost due to the increase in summonses.
  - Spare room subsidy: from April 2013 claimants of working age who rented in the social sector became subject to the size criteria regulations, otherwise known as the 'spare room subsidy' or 'bedroom tax'. 1194 households have been affected by the subsidy, reducing Housing Benefit entitlement for those affected, but the consequences are unclear at this stage.
  - Benefit Cap: the aim here is that working age claimants should not receive more in benefits than the average family in work, and if it did Housing Benefit is reduced to bring their benefit income back below that level.  
Currently 30 claimants have been affected by the benefit cap, having an average reduction of £55.81 per week in their Housing Benefit entitlement.
  - Discretionary Housing Payment: as a result of the above changes the Government allocated the Council additional funds to help those adversely affected. At the end of September, £65,418 had been paid out compared to £35,052 at the same time last year.

- 8.12 If economic prosperity in Herefordshire declines it will negatively impact the opportunities for children and young people and the reduction in those not in education, employment or training. Actions to mitigate this risk are being developed; this is linked to items 8.10 & 8.11 above.

*Achievements:*

- 8.13 Good progress is being made on the 10 major projects within the Economic Development Strategy. This includes a significant milestone achieved with the publication of the Compulsory Purchase Order (CPO) for the Link Road and work to progress this is on-going. Furthermore, the Hereford Enterprise Zone is making progress with the first lead having signed and is now on site. Two further leads are close to finalising on land purchase.
- 8.14 Inward Investment leads are continuing to be sourced from the North American market and opening discussions have now been held with other US and Canadian businesses considering the UK as an investment location. Detailed discussions are lined up with two of these companies.
- 8.15 A councillor working group has met to discuss the conditions for a strong county economy. A business survey has been conducted which will inform this working group and refresh the Economic Development Strategy for the county. The strategy will be influenced by EU Investment Strategy and LEP Growth Deal.
- 8.16 Progress on the Old Market project is progressing largely to schedule with the planned Spring opening still on target. Officers are working with local skills providers to deliver comprehensive training opportunities to people looking to take advantage of the jobs created by the development.
- 8.17 At the instigation of the private sector, Officers are working with partners from within the city centre to investigate the potential to develop a Business Improvement District covering the majority of the existing retail core and encompassing the Old Market development. This scheme would look to develop the shopping and cultural experience for visitors to Hereford and will bring together partners from across the city, helping to develop the concept of the “whole city approach”.
- 8.18 Balfour Beatty Living Places mobilised public realm services for September and member/shareholder meetings have taken place.

***Enable residents to be independent and lead fulfilling lives with resources focussed on supporting the most vulnerable***

***Adults***

*Performance Challenges:*

- 8.19 The reporting period covers the final four weeks of adult social care operational staff managed through the Wye Valley contract, and a period of significant operational structural change implemented from September 13<sup>th</sup> 2013. The following performance challenges need to be set within this context.
- 8.20 Overall, self-directed support has improved, however this is still significantly below the target. Improvements have been made to the workflow to aid accurate recording, a significant challenge is social work capacity, which has increasingly had to focus on supporting the urgent care system and hospital discharges resulting in less focus on increasing the numbers of people having a review and moving onto self-directed support.
- 8.21 Timeliness of adults assessments performance continues to improve, however as part of the transfer back to the Council of operational staff it has become evident that a backlog of assessments exist which will need to be worked through and will continue to affect performance on this indicator until cleared. Additional capacity is been considered to address this issue.

8.22 Delayed transfers of care linked to hospital discharges relate to the whole system, not just to those specifically linked to adult social care. Performance in this area is monitored closely by the multi-agency Urgent Care Board; the current performance is likely to come under further pressure as we move into the winter months due to the continued high demand on Wye Valley NHS Trust due to high numbers of primary care referrals.

Risks:

8.23 That increased pressure on adult social care capacity, due to the pressures within the urgent care system will continue to negatively impact on other performance indicators.

8.24 Impact of delays in recruitment and retention to key posts resulting in vacancies in the system could negatively impact performance.

8.25 Complex safeguarding and care home investigations requiring significant managerial and social worker practitioner capacity again reducing ability to respond effectively to meet demand and therefore affecting achievement of performance.

8.26 Accuracy of data and lack of performance analysis capacity focused on adult social care is slowing improvements in performance reporting and management. This is being addressed through the refocusing of resources.

Achievements:

8.27 Manual collection of data relating to social care productivity showing improvements in assessment and review.

8.28 Making it Real a programme to increase personalisation and self-directed support has included a survey on service user satisfaction; early analysis indicates some positive responses.

8.29 Data quality improvements have been made and sustained, this requires continued focus.

8.30 The outturn for the 12-month rolling period to September 2013 for repeat incidents of domestic violence was 31% which represents a positive direction of travel for this critical performance indicator. The recent Domestic Abuse Needs Assessment has highlighted that there is a high volume of repeat cases heard at the Multi-Agency Risk Assessment Conference (MARAC) that continue to be heard within a 12 month period. The way these repeat cases are managed may change in future which could affect the MARAC outturn data.

**Children**

8.31 Performance within this priority area of children, and more specifically vulnerable children, needs to be considered within the following context:

- Around 40,000 children live in Herefordshire;
- 2,500 children in Herefordshire receive free school meals;
- 4,500 children live in poverty in Herefordshire;
- 2,500 children in Herefordshire have special educational needs;
- 2,000 children are supported by our safeguarding services and 450 of those need the highest levels of protection from harm.

Performance Challenges:

8.32 Effective decision making and numbers of initial and core assessments being completed within timescales is a significant concern. During July, August and September there has been a significant and unacceptable reduction in performance on the key performance measures regarding the speed and clarity of decision making and assessments. This has been caused by volume, turnover of staff, and the implementation stages of the Multi-Agency Safeguarding Hub (MASH) and matching of resources to workload. This has been addressed through a substantial revision of

workflow and decision making processes; movement of more qualified staff into both the MASH and the Children in Need teams; and a review of resourcing. Early improvements include action on all contacts to the MASH within 2 hours of receipt; more disciplined decision making processes; external challenge via the Peer Review and management changes.

- 8.33 Education attainment for Herefordshire overall remains at or below national average and is not improving. For vulnerable pupils, particularly those eligible for free school meals or those where English is an Additional Language, the gap in attainment is in the fourth quartile. There is significant variation in performance between schools, with some schools achieving outstanding results. There are also variations by individual schools in performance year on year.

Risks:

- 8.34 Significant numbers of interim staff are operating at the front door of the service which could potentially impact the initial assessment.
- 8.35 The new model of school improvement may be challenged by the number of school issues.
- 8.36 Some schools may not engage with the collaborative approach to achieving performance improvement.

Achievements:

- 8.37 Herefordshire School Improvement Partnership established across schools to focus support and school to school collaboration. Particular focus is on closing the gap, with Ofsted involved in addressing the issue in Herefordshire.
- 8.38 Provided 200+ more nursery places for vulnerable 2 year olds than target as part of early help offer.
- 8.39 Have commenced a new Multi-Agency Safeguarding Hub approach.
- 8.40 Recruitment of 8 newly qualified social workers and a number of experienced social workers and social work managers, some of whom commenced in October.
- 8.41 Peer Review of children's safeguarding has taken place to shape next stage of improvement.

**Customers**

Performance Challenges:

- 8.42 The abandoned call rate in the customer contact centre has been pretty steady in April, June, August and September at around 20%, though May was 12.05% and July was 14.30%. Since introducing the CRM system it takes staff longer to go through the script process and actually log a call. This is being addressed.
- Additionally calls have come in due to the contact centre number being listed on the website and people calling if they have problems with navigating the sites and finding what they are after. This is going to be removed and a sample web page has been produced and due to go live. Due to staff shortages (people leaving, demand, holiday and sickness) it has been a challenge to answer all the calls.
- This indicator will continue to be monitored closely; it is not necessarily going to improve considering the reduction in service.
- 8.43 Following further analysis of website use, satisfaction levels have started to improve, although are not at the same levels as last year. This is an important performance area to improve so that residents can interact with the Council at a time and place to suit them which is via the internet. Some of the issues are related to technical aspects of web design (such as the navigation); improvements will be deployed over the next few weeks and satisfaction should start to climb after that. We are also improving the range of transactional services available through our website.

Users can now report problems with their waste collection and request related services such as additional bins <https://www.herefordshire.gov.uk/environmental-protection/waste-management/refuse-household-bin-collection/>

Details of potholes that have been reported to us and their status is now available to view <https://www.herefordshire.gov.uk/transport-and-highways/maintenance/potholes/potholes-map/>

We've improved the content around procurement by working with local businesses <https://www.herefordshire.gov.uk/procurement>

#### Risks:

- 8.44 In the current financial climate ensuring that sufficient resources are available for the implementation of web programmes linked to service delivery.
- 8.45 Large areas of the council's web real estate are not under the management of the web team and have not been designed to address user need. Satisfaction can only be radically improved if all parts of the council design their services around user need.
- 8.46 High usage areas of the council's website are not in areas seen as a priority for the council. If we do not invest effort in meeting user need in these areas satisfaction will not increase. If we do it will reduce the resource available to support priority areas. We are exploring mitigation options in these areas.

## **9. Community Impact**

- 9.1 Delivering the Corporate Plan is central to achieving the positive impact the council wishes to make across Herefordshire and all its communities; given the decreasing financial resources available to the council, monitoring performance effectively becomes even more important to ensure that those resources are best directed to meet the agreed priorities and statutory obligations of the council.

## **10. Equality and Human Rights**

- 10.1 There are no specific implications in the report. In demonstrating due regard to the council's Public Sector Equality Duty (PSED), in our decision making processes we ensure that individual directorates and service areas assess the potential impact of any proposed project, leading to fairer, transparent and informed decisions being made.

## **11. Financial Implications**

- 11.1 Projects and activity within the delivery plan must be delivered within the budget agreed by Council in February 2013; they include projects and activity to deliver the cost reductions required for a balanced budget.
- 11.2 Slippage in projects and activity to deliver cost reductions will impact on the overall council budget and will require remedial or mitigating actions to maintain financial stability. A detailed budget monitoring report appears elsewhere on the Cabinet agenda.

## **12. Legal Implications**

- 12.1 When service managers seek to remodel services it is essential that a proper process is followed if the council's decision making is not to be overturned by legal challenges. This means managers must understand the needs of their customers and how changes will affect them; particularly if there will be any disproportionate impact on any group sharing a protected characteristic. All reports seeking approval for service change must include sufficient information on impact and mitigation measures to enable the decision maker to have due regard to the council's PSED and other legal obligations. It is important that legal advice is sought early on in service change projects if the risk of challenge in the courts is to be mitigated.

## **13. Risk Management**

- 13.1 The corporate plan and its delivery plan are integral elements of the council's risk management framework. Risks associated with each objective and project are entered onto the relevant service or directorate risk register and escalated to the corporate register as appropriate. Risks are reviewed by the Management Board at the regular performance meetings and any significant risks are outlined below.
- 13.2 The financial challenge and capacity to deliver the transformation necessary to both improve outcomes for people and deliver savings remains the most significant risk. This is a particular challenge in the areas of adult social care and children's safeguarding where change must be made at a pace which ensures that vulnerable people remain safe. The on-going 'priorities' work to redefine the Councils core functions, operating within significantly reduced budgets is critical to managing this risk. This is being managed as part of the service and budget planning process with the budget proposals currently out for public consultation.

## **14. Consultees**

- 14.1 None in relation to this report. The development of the delivery plan was informed by the evidence base already gathered during the year and which includes user, resident and partner feedback where available, and which this year includes the outcome of the Your Community Your Say engagement undertaken throughout the autumn/winter period and building on the Quality of Life survey results in 2012. The consultation undertaken immediately before Council set the budget in February provided a range of views which included insights into opportunities for meeting the budget pressures as well as ways in which proposals may need to be implemented to minimise any adverse impacts; these views will continue to inform delivery planning and implementation through the year, further enhanced by specific stakeholder consultations on individual projects as appropriate.

## **15. Appendices**

- 15.1 Appendix A – Critical Performance Indicators

## **16. Background Papers**

- 16.1 None identified.





<i>Enable residents to be independent and lead fulfilling lives with resources focussed on supporting the most vulnerable Adults<sup>1</sup></i>										
				2011/12 Outturn	2012-13 Outturn	2013/14 Target	Latest Outturn	Rating	Direction of Travel	Council Controlled or Influenced
Number of adults, older people and carers receiving self-directed support in the year to 31 <sup>st</sup> March as a percentage of all clients receiving community based services and carers receiving carer specific services	Monthly	Bigger is better	Data not available from Framework-i	34%	78%	48.5% (Sept.)	Red		Controlled	
Minimise the number of people killed or seriously injured in road traffic collisions in Herefordshire	Monthly	Smaller is better	75 (2011)	80 (2012)	<89 (2013) <53 (to Sept.)	35 (YTD)	Green		Influenced	
Permanent admissions to residential and nursing care homes for younger people (18-64), per 100,000	Monthly	Smaller is better	26	13	13	5.55 (Sept.) (6 / 108,119)	Blue		Controlled	
Permanent admissions to residential and nursing care homes for older people (65 and over), per 100,000 population	Monthly	Smaller is better	559	520	500	215.58 (Sept.) (88 / 40,820)	Green		Controlled	
Percentage of adult assessments completed within agreed timescales	Monthly	Bigger is better	New measure	100%	29% (YTD)	Red		Controlled		

<sup>1</sup> There are a further 2 measures within Adults that are reported annually and will appear at year-end

			2011/12 Outturn	2012-13 Outturn	2013/14 Target	Latest Outturn	Rating	Direction of Travel	Council Controlled or Influenced
Reduce the % of repeat incidents of domestic violence	Quarterly	Smaller is better	43% (81 /187)	34% (59 / 175)	40%	31% (56 / 183) (Q2)	Green		Influenced
<b>Children</b>									
Percentage of child assessments completed within agreed timescales (Core Assessments)	Monthly	Bigger is better	New measure	63.24%	85%	66.2% (Sept.)	Red		Controlled
Percentage of child assessments completed within agreed timescales (Initial Assessments)	Monthly	Bigger is better	New measure	50.45%	85%	23.5% (Sept.)	Red		Controlled
No of young people in temporary accommodation as a result of homelessness	Monthly	Smaller is better	0	1	0	0 (YTD)	Blue		Influenced
<b>CUSTOMERS</b>									
% of web users that were satisfied or content with their visit	Monthly	Bigger is better	80.6%	76.6%	>76.6%	54.4% (YTD)	Red		Controlled
% web users who did not find what they were looking for	Monthly	Smaller is better	19%	21.54%	20%	26.89% (YTD)	Red		Controlled
Reduce the % of calls abandoned	Monthly	Smaller is better	7.20% (9,921 / 136,375)	14.22% (24,191 / 168,633)	<14.22%	18.16% (16,516 / 91,372) (YTD)	Red		Controlled
Increase the amount of feedback received from the public (via Comments, Complaints and Compliments)	Monthly	Bigger is better	New measure	1,740	>1,740 (>869 to Sept.)	1,342 (YTD)	Green		Controlled





<b>MEETING:</b>	<b>CABINET</b>
<b>MEETING DATE:</b>	<b>21 NOVEMBER 2013</b>
<b>TITLE OF REPORT:</b>	<b>BUDGET MONITORING REPORT – SEPTEMBER 2013</b>
<b>REPORT BY:</b>	<b>CHIEF OFFICER – FINANCE</b>

## 1. Classification

Open

## 2. Key Decision

This is not a key decision

## 3. Wards Affected

County-wide

## 4. Purpose

To provide Cabinet with assurance on the robustness of budgetary control and monitoring across the Council, to highlight key financial risks within directorates and identify mitigation to bring the authority within its overall approved budget.

## 5. Recommendations

THAT:

- (a) Cabinet notes the projected overspend of £3.3m for 2013/14, an improvement on the August position of £0.6m, the potential impact on reserves and the 2014/15 budget;
- (b) Cabinet supports the continuing action by Directors to identify further financial savings to mitigate the impact; and
- (c) Directors and financial resources are focussed on identifying savings for the remainder of 2013/14 and future savings for 2014/15 to 2016/17.

## 6. Alternative Options

6.1 There are no alternative options.

## 7 Reasons for Recommendations

7.1 The council continues to forecast an overspend for the year, at September approximately

Further information on the subject of this Report is available from  
Peter Robinson on Tel (01432) 383319

£3.3m or 2.2% of its net budget, compared to £3.9m in August. The key pressure relates to Adults Wellbeing; either savings slipping or not being able to be delivered and pressures from the Department of Health. The projected overspend in Adult Wellbeing has reduced from £4.3m in August to £3.4m, although there are additional net pressures in other Directorates of £0.3m.

7.2 The council has a limited level of reserves; to such an extent that any overspend in year would need to be recovered in 2014/15.

7.3 Local authorities are not legally permitted to borrow to support revenue overspends and the low level of reserves put this position at risk unless urgent action is taken. Additional action is therefore recommended, to bring forward additional savings proposals from across the council, to minimise the potential overspend.

## 8. Key Considerations

8.1 This report sets out the reasons for the major variances and actions taken to date. Moving forward the Council will need to radically change its approach to delivering services in order to meet its future savings targets.

Service	Budget Exp.	Budget (Income)	Net Budget	September Forecast Outturn	Projected (Over)/ under spend
	£'000	£'000	£'000	£'000	£'000
Adults Wellbeing	69,068	(14,866)	54,202	57,604	(3,402)
Childrens Wellbeing	43,008	(14,607)	28,401	28,440	(39)
Economy, Communities and Corporate	111,537	(67,456)	44,081	44,161	(80)
Chief Executive and Organisational Development	8,196	(707)	7,489	7,406	83
Public Health	7,745	(7,753)	(8)	(270)	262
<b>Total Directorates</b>	<b>239,554</b>	<b>(105,389)</b>	<b>134,165</b>	<b>137,341</b>	<b>(3,176)</b>
Treasury Management	15,239	(259)	14,980	14,980	0
Change management	2,000		2,000	2,000	0
Government grants		(3,533)	(3,533)	(3,533)	0
Contingency	773		773	773	0
Other central budgets	221	(310)	(89)	61	(150)
Transfer to general balances	2,000		2,000	2,000	0
<b>Total Budget</b>	<b>259,787</b>	<b>(109,491)</b>	<b>150,296</b>	<b>153,622</b>	<b>(3,326)</b>

8.2 The Adults over spend of **£3.4m** comprises:

	Aug £m	Sept £m
▪ Outstanding budget decisions ECC directorate	1.2	0.9
▪ Savings scheme slippage	2.3	2.3
▪ Department of Health Funding Pressures	0.5	0.5
▪ Other*	<u>0.3</u>	<u>(0.3)</u>
	<b>4.3</b>	<b>3.4</b>

\* The movement includes client packages, housing efficiency savings and social fund savings

Further information on the subject of this Report is available from  
Peter Robinson on Tel (01432) 383319

- 8.3 Children's Wellbeing position has worsened by £131k since August, with additional pressures of £0.51m, mitigated by savings of £0.38m. The largest pressure being the extension of one residential placement and a new one approved increased projections, £179k.
- 8.4 Included in the 2013/14 budget is a target of £300k to be achieved through procurement projects, including printing, stationery, cash collection and mail services. Whilst savings of £150k are anticipated, the remaining £150k will not be delivered and this pressure is reported within central budgets.
- 8.5 Further detail on month on month budget variance is attached as Appendix A and included in the Directorate Control meeting reports in appendices B to F.

**8.6 ONE-OFF COSTS**

Funding for change management, mostly one-off severance costs, is as follows;

	<b>£,000</b>
Budget for 2013/14	2,000
Contingency	773
Earmarked reserve	142
	<b>2,915</b>

- 8.7 In addition, there is a provision of £440k for severance costs committed in 2012/13 but incurred in 2013/14.
- 8.8 Current estimates are for redundancy and actuarial strain to be within budget.
- 8.9 The Government has issued the rules and procedures for applying for a capitalisation direction in 2013/14, where "an extremely strong case can be made that the expenditure is applicable for capitalisation". A threshold, based on spending and reserves, has been set (£2.29 million for Herefordshire) and only spend above that level could be capitalised (if successful). Applications have to be submitted to the Department for Communities and Local Government by 31 October 2013. If Herefordshire makes a bid and this is approved it would mitigate the overall revenue position in 2013/14 but add to our borrowing costs for future years. For example, if one-off costs of £3m were identified the £700k could be capitalised at a future cost of around £116k per year if paid over seven years. Decisions will be issued by the Government department in January 2014.
- 8.10 Appendix G includes the position on the capital programme for 2013/14. It shows that the projected capital out-turn is £53.5m funded from capital grants (£30.6m), borrowing (£19.6m) and capital receipts (£3.3m).
- 8.11 The Treasury Management position is projected to break even in 2013/14. Appendix H includes a detailed analysis.

**Estimated Reserve Level 31.3.14**

<b>Reserves</b>	<b>Actual Reserves 31.3.13 £m</b>	<b>Estimated level 31.3.14 £m</b>
Prudential/minimum acceptable balance*	4.5	4.5
General reserves	0.1	0.2
Provision for risks around the budget	0.0	2.0
Potential overspend in 2013/14	0.0	(3.3)
Earmarked reserves	8.5	7.2
<b>Council reserves</b>	<b>13.1</b>	<b>10.6</b>

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Further information on the subject of this Report is available from  
Peter Robinson on Tel (01432) 383319

Schools balances – not available for council	5.5	5.3
<b>Total reserves</b>	<b>18.6</b>	<b>15.9</b>

\* Each authority's S151 Officer must determine a minimum acceptable working balance which recognises potential unforeseen/unbudgeted financial risks eg flooding, natural disaster or unforeseen litigation. In Herefordshire this has been assessed and approved by the External Auditor as 3% of the net revenue budget. If used it must be replenished the following financial year.

- 8.12 The reserves include an estimated £5.3m of schools balances, which are not available for general use, and £7.2m of earmarked reserves e.g. £2.6m waste disposal reserve.
- 8.13 The 13/14 budget included an additional £2m to increase reserve levels, this has now been set aside for unbudgeted costs, including pending court cases.
- 8.14 The overall level of reserves at 31.3.13 of £18.6m is sometimes referred to. However £5.5m relates to school balances and cannot be used by the council, £4.5m is its minimum balance that it must not plan to use to balance its budget and £8.5m are ear-marked against specific commitments, leaving only £0.1m available for use.

## 9. Community Impact

- 9.1 Savings measures may impact on the community but will be subject to consultation before implementation.

## 10. Equality and Human Rights

The recommendations do not have a direct equality implication; however, resulting actions will need to consider these.

## 11. Financial Implications

- 11.1 These are contained within the report.

## 12. Legal Implications

- 12.1 The Local Government Finance Act 1988 makes it a legal requirement that the council's expenditure (and proposed expenditure) in each financial year must not exceed the resources (including sums borrowed) available to the authority. If this principle is likely to be breached, the Chief Financial Officer is under a statutory duty to make a formal Report to Members.

## 13. Risk Management

- 13.1 Monthly budget control meetings are chaired by the Chief Officer Finance to give assurance on the robustness of budget control and monitoring, to highlight key risks and to identify any mitigation to reduce the impact of pressures on the council's overall position.

## 14. Consultees

- 14.1 None



## **15. Appendices**

- 15.1 Appendix A – Budget Variance analysis
- Appendix B – Adults Wellbeing Budget Control meeting
- Appendix C – Childrens Wellbeing Budget Control meeting
- Appendix D – Economies, Communities and Corporate Budget Control meeting
- Appendix E – Chief Executive and Organisational Development Budget Control meeting
- Appendix F – Public Health Budget Control meeting
- Appendix G – Capital Monitoring
- Appendix H – Treasury Management

## **16. Background Papers**

- 16.1 None identified.



APPENDIX A

Directorate net Budget	Net Budget September £'000	September variance £'000	August variance £'000	Difference £'000	Explanation
Adults Wellbeing	54,202	(3,402)	(4,277)	875	<ul style="list-style-type: none"> <li>Housing efficiency savings £200k.</li> <li>Social fund grant anticipated saving £100k.</li> <li>Reduction in cost of client care £247k</li> <li>Receipt of budget from ECC of £328k</li> </ul> <b>Total £875k</b>
Children's Wellbeing	28,401	(39)	92	(131)	<ul style="list-style-type: none"> <li>Placement pressures (£348k)</li> <li>Staffing (£85k)</li> <li>Transport (£44k)</li> <li>additional court costs (£30k)</li> </ul> <b>Mitigated by:</b> <ul style="list-style-type: none"> <li>extra ESG funding £200k hold on vacancies. £176k</li> </ul> <b>Total (£131k)</b>
Economy, Communities and Corporate	44,081	(80)	(26)	(54)	<ul style="list-style-type: none"> <li>Savings relating to budget virement to AWB (£127k)</li> <li>provision for settlement of Land Charges legal settlement (£167k)</li> </ul> <b>Mitigated by:</b> <ul style="list-style-type: none"> <li>in year staff savings and additional planning income £240k</li> </ul> <b>Total ( £54k)</b>
Chief Executive and Organisational Development	7,489	83	83	0	
Public Health	(8)	262	262		
	<b>134,165</b>	<b>3,176</b>	<b>3,866</b>	<b>690</b>	

**Movement in respect of budget changes is comprised as follows:**

**ADULTS WELL- BEING**

Transfer of one post from Housing services (AWB) to Sustainability services (ECC) -  
Savings achieved within ECC transferred

-£39k.  
£328k

**Net increase of**

**£289k**

**CHILDREN'S WELL-BEING**

Transfer of Performance post from CE and OT  
Reduction in Extended Rights to Schools Grant

£20k  
-£177k

**Net decrease of**

**-£157k**

**ECONOMY, COMMUNITIES AND CORPORATE**

Disaggregation of Information Governance (from ODT)  
One off funding for Customer Services Compensations  
Transfer of Housing staff to Energy & Environment Management Team  
Transfer of savings target to Communications  
Slippage in loan repayment (LED Street Lighting & Solar PV Panel Scheme)  
Savings agreed by Cabinet - vired to Adult Well Being

£41k  
£28k  
£38k  
£18k  
£133k  
-£328k

**Net decrease of**

**-£70k**

**CHIEF EXECUTIVE AND ORGANISATIONAL DEVELOPMENT**

Disaggregation of Information Governance & Research budget  
One off funding for Customer Services Compensation  
Transfer of savings target to Communication  
Transfer of Performance post to Children's Wellbeing

-£41k  
-£28k  
-£18k  
-£29k

**Net decrease of**

**-£107k**

**Treasury Management**

**Government Grants extended rights to schools**

**Other Central Budgets**

-£133k  
£177k  
£1k

**TOTAL**

**Nil**

## ADULTS WELL- BEING BUDGET CONTROL MEETING UPDATE REPORT SEPTEMBER 2013

MEETING DATE:

23RD OCTOBER 2013

**Purpose** - To provide the Chief Finance Officer with assurance on:

- the robustness of budget control and monitoring within the Adults Well- Being Directorate
- to highlight key risks within the directorate
- to identify any mitigation which can be achieved to reduce the impact on the overall Council budget for 2013/14.

### Key Messages

1. The Directorate currently reports an over spend of **£3.4m**, which is a £0.9m improvement from the position reported in August. The key areas of this overspend are:

			£m
Outstanding budget decisions			0.9
Savings scheme slippage			2.3
Department of Health funding Pressures			0.5
Other			<b>(0.3)</b>
			<b>3.4</b>

2. The key areas of the £1m forecast change are as follows::

			£m
Client group package savings			0.3
Housing efficiency savings			0.2
Social Fund savings			0.1
Transfer of savings budget from ECC			0.3
			<b>0.9</b>

## 1. Current Status – Revenue Budget by Service

Service	Budget Expenditure £'000	Budget (income) £'000	Net Budget £'000	Sept. Forecast Outturn £'000	Projected (over) /under spend £'000
Mental Health*	9,388	(2,215)	7,173	7,173	0
Learning Disabilities	17,230	(1,318)	15,912	15,723	189
Older People *	18,891	(5,050)	13,841	14,467	(626)
Physical Disabilities	7,969	(753)	7,216	7,573	(357)
Adult Commissioning	1,017	0	1,017	1,263	(246)
Other services	11,103	(4,660)	6,443	8,205	(1,762)
<b>Adult Social Care excluding outstanding decisions</b>	<b>65,598</b>	<b>(13,996)</b>	<b>51,602</b>	<b>54,404</b>	<b>(2,802)</b>
Planned savings schemes outside the directorate	(876)	0	(876)	0	(876)
<b>Total for Adult Social Care</b>	<b>64,722</b>	<b>(13,996)</b>	<b>50,726</b>	<b>54,404</b>	<b>(3,678)</b>
Homelessness	2,872	(210)	2,662	2,534	128
Housing Needs and Development	280	(8)	272	268	4
Homepoint	282	(282)	0	(20)	20
Housing and independent living management	225	0	225	211	14
Healthy Housing	687	(370)	317	207	110
<b>Housing and Independent Living</b>	<b>4,346</b>	<b>(870)</b>	<b>3,476</b>	<b>3,200</b>	<b>276</b>
Adults Wellbeing Directorate	69,068	(14,866)	54,202	57,604	(3,402)

\*Budget of £1.235m has been transferred from Mental Health to older people category following consultation with cabinet member.

## 2. Budget Variances

### a) Outstanding Budget decisions £0.9m

Of the savings schemes identified within Economy, Communities and Corporate Directorate to address the £1.2m shortfall within adult savings schemes, a number of these schemes have now had cabinet approval and this has resulted in the transfer of £0.3m budget from the Economy Communities and Corporate Directorate to the Adults Well Being Directorate. The table below demonstrates the current Status of these savings schemes and anticipated savings in 13/14.

## Current Savings schemes

Scheme	Saving Plan 13/14 £000	Anticipated 13/14 £000	Vired to AWB £000	At Risk 13/14 £000	Anticipated FYE £000	Status of Decision
<b>ADDITIONAL SAVINGS TO BE VIRED TO ADULTS WELL-BEING</b>						
Heritage Services Review	194	48	48	146	239	Cabinet Decision 19th September (Option2)
Library Services Review	250	86	86	164	97	Cabinet Decision 19th September (Option2)
Planning Services cost reductions (inc	291	58		291	490	Cabinet Member Decision - October 2013. Note 1
Countryside Services Review	40	0		40	300	Cabinet Member Decision November 2013
Closure/Transfer of toilets	187	22	22	165	99	Cabinet Member Decision 16th September 2013
Increase charges for garden waste sac	80	20	20	60	40	Pending Cabinet Member Decision October 2013
CCTV Review	50	50	50	0	82	Cabinet Member Decision 31st July 2013
Community Protection Review	150	29	29	121	101	Cabinet Member Decision 14th August - pending outcome of statutory consultation 19th October 2013
Increase car parking/on-street parking	(195)	(25)	(25)	(170)	250	Cabinet Member Decision - Awaiting Proposal from Balfour Beatty
Community Regeneration	48	48	48	0	96	Scheme revised and no longer needs Cabinet Member Decision
Members allowances	60	0		60	0	Unlikely to be delivered
Customer Services	80	50	50	30	251	Cabinet Decision 19th September (Option2) - mitigates original ECC savings £77k target above
Reduce Public Notices	10	10		10	10	Awaiting legal advice on minimum statutory requirement
Advertising & Publicity (Council wide p	150	0		150	0	Review concluded - note 2
<b>ADDITIONAL SAVINGS TOTAL (to be vired to Adults Well-being)</b>	<b>1,395</b>	<b>396</b>	<b>328</b>	<b>1,067</b>	<b>2,055</b>	
Note 1 - Total saving anticipated is £582k however £92k of saving offsets existing HERS savings schemes						

## b) Savings schemes £2.3m shortfall

Within the approved budget of £54m, savings of £8.3m were planned, (of which £7.1m relates to adult social care); £5.8m are on target to be delivered, however £2.3m are at risk (all within adult social care).

Replacement schemes are required for previous savings plans, where slippage has occurred due to contractual implementation and consultation processes. The Table below shows the latest position for current savings plans and identifies the £2.3m risk included in the outturn.

### Savings Plans requiring replacement schemes

Ref	Scheme	Target £k	Reported at Risk £k	Risk	Estimated recoverable 13/14 £k	Expectation 14/15 £k
1	WVT Section 75 10% reduction Replacement scheme required as previous savings plan linked to S75 arrangements with Wye Valley trust.	500	404	Alternative scheme and delivery unlikely to be achieved in this financial year.	0	0
2	Next Stage integration	756	540	See detailed note below	50	756
3	Open Book Review	125	125	Implementation of price reduction now 14/15 not Jan 14 as initially assumed due to implementation approach	0	125
4	Home and Community support (formerly called Homecare)	1,000	1,000	Re-procurement in consultation for reduced rate implementation from 1 <sup>st</sup> April 2014	0	1,000
5	Village Wardens	91	37	Alternative scheme for slippage unlikely to be achieved in this financial year.	0	54
6	Talking Book	17	7	Alternative scheme for slippage unlikely to be achieved in this financial year.		17
7	Workforce	300	42	Alternative scheme for slippage unlikely to be achieved in this financial year.		300
8	Replacement Schemes required	210	210	Alternative schemes and delivery unlikely to be achieved in this financial year.		
	<b>TOTAL</b>	<b>3,099</b>	<b>2,365</b>		<b>50</b>	<b>2,352</b>

The Directorate is continuing to review where extra efficiencies can be found this year to mitigate the savings shortfall. This includes looking at Care funding calculator reviews.



## Details of Risk / Mitigation

1 – Following the decision not to actively pursue the 10% targeted contractual reduction some savings may be achieved in part through a combination of vacancy management and other expenditure controls.

2 - Savings target of £756k for next stage integration project now has Cabinet approval. The new structure which will deliver the planned savings is now in operation. Due to a slowdown in the redesign of community equipment and day opportunities following consolidation of services “in house” has been delayed until 2014/15 and a resulting slippage of £540k is expected of which the key components are termination costs £60k and £386k slowdown costs.

3 - The Open Book Review and the proposed changes to fees were presented to Cabinet for approval on 20th June 2013. Cabinet decided to go out to further consultation. Before this could commence thirteen providers challenged the decision making and the council received a protocol letter ahead of Judicial Review. The Council asked for providers to offer more information which could be taken into account prior to a further report to Cabinet. After providers’ views had been considered at a Task and Finish Group of HSCOSC it was determined that the further engagement with providers should be initiated and new report be presented to Cabinet to include both usual price and contract issues. These actions have delayed procurement which will not be completed until early in 2014-15.

4 - Homecare – re-procurement is currently in consultation with providers, with implementation of reduced rate from 1<sup>st</sup> April 2014. A detailed timetable is shown below.

Activity	Timescale
Market engagement: pricing model	13 <sup>th</sup> September – 27 <sup>th</sup> September
Market engagement: commissioning approach	24 <sup>th</sup> September – 3 <sup>rd</sup> October
Market engagement meetings with providers (pricing and commissioning approach)	7 <sup>th</sup> October – 16 <sup>th</sup> October
Advertisement Date (ITT* available to Candidates)	Fri 25 <sup>th</sup> October 2013
Clarification Period Closes	Fri 22 <sup>nd</sup> November 2013 12.00 noon
All Clarifications Answered By:	Fri 29 <sup>th</sup> November 2013 12.00 noon
Closing date for submission of ITT	Fri 6 <sup>th</sup> December 2013 12:00 noon

### c) DOH Funding Pressures £0.5m

Winter pressures funding of £250k had previously been assumed as this has happened in previous years, confirmation has now been approved nationally of a change in approach and Herefordshire health and social care is thought unlikely to receive any further funding. However Adults well –being directorate is also working with Public Health colleagues to see how Public Health grant monies can support the winter pressures position.

Specific funding through the NHS for social care plans have to be agreed with the Clinical Commissioning Group, due to the extreme pressure within the health and social care urgent care system, specific projects to manage winter pressures and additional pressure on acute care now require funding and creates an additional expenditure not previously worked through the base budget of £300k. Re-ablement Health monies are expected to be improved on the original anticipated allocation so will alleviate above pressures by £34k.

**d) Other Increases/ Decreases and new cost pressures underspend of £0.3m**

1. Client groups are expected in total to underspend by £205k (excluding the Homecare savings element). The table below illustrates.

Client Groups	Activity outturn Under/( Overspend)	Homecare savings shortfall	Forecast outturn September
	£'000	£'000	£'000
Older People	(346)	(281)	(627)
Mental Health	237	(237)	0
Learning Disabilities	494	(305)	189
Physical Disabilities	(180)	(177)	(357)
Total	205	(1,000)	(795)

2. The September forecast shows an improvement of £274k to the previously reported August position. This is due in the main to:

**Pressures:**

- Cost pressure due to the payment of backdated contract payments to Drybridge House of £113k. Previous forecasts assumed contract had ended.
- Cost pressure due to provision for legal costs £100k.
- Cost variation on older people residential and nursing placements, in part due to hospital pressures of £72k

**Mitigating reductions as follows:**

- Cost reduction due to the termination of 14 domiciliary care packages saving £244k within Mental Health category.
- Cost reduction in Mental Health packages £11k
- Cost Reduction of Learning Disability care packages £197k
- Cost Reduction of residential and nursing packages for Physical Disability clients £107k

3. Housing and independent living services have done a complete review of all expenditure and have managed to identify savings of £276K through increased efficiency.
4. At the half yearly point the spend on the social fund grant has been considerably lower than anticipated and is therefore likely to underspend significantly at year end, This forecast includes a saving of £100k and this will be closely monitored in the coming few months.
5. Pressures of £203k remain on commissioning staffing budgets delivering transformational projects.
6. The negotiation to transfer the LD Health staff from Wye Valley to 2g identified a budget gap, which has necessitated increasing the budget allocated for this service, creating an additional £65k in year cost.

## Risks

- 1) A limited provision for growth in activity or increased cost has been included within the forecasts for older people, currently £500k where initial growth in packages is anticipated, pending the cultural and financial changes becoming embedded in the overall changes to service delivery. The risk remains that other categories of Mental health, Learning Disabilities and Physical Disabilities clients include no provision for growth or increased costs.
- 2) Winter Pressures and Hospital admissions will create unfunded pressure on Adult Social care budget.
- 3) Next stage Integration currently assumes that there will be no change to current pension contributions. This risk is estimated at £74k. It also assumes that £100k is achievable through vacancy management. This is at risk if the service requires agency cover.
- 4) The council has a responsibility to provide accommodation for anyone sleeping rough during the winter (where the temperature is 0 or below for 3 consecutive nights). This will be most likely triggered at some point during the remainder of the financial year. A contribution is made to a local charity that provide a shelter for up to 15 people during December – March but this does not accommodate all persons and therefore may put pressure on the Homelessness budgets.
- 5) Due to changes in central government policies applications for housing assistance may be forthcoming from additional EU groups. The total impact of this is not known, but may cause additional pressure on temporary accommodation.

## Opportunities

- 1) Although the major part of Data cleansing has taken place, and is reflected within these forecasts, this is still continuing and may result in further redundant packages being removed from the forecast.
- 2) £57k administration funding through the 'Social fund' may be available if administration costs can be met within existing resources
- 3) Capital funding of up to £300k is available and there is potential to capitalise purchases from the community equipment store, subject to eligibility.
- 4) Within the Next Stage Integration project there may be opportunities to release day opportunity staff sooner than assumed on 31<sup>st</sup> March, if it is safe to do so.
- 5) Warm Homes Healthy People funding received within Healthy Homes last year (Get warm, stay warm project in Herefordshire) will not be repeated this year. However ring-fenced funding of £5.45 billion for 2013-15 has been made available to local authorities to address public health priorities determined at local level. In setting their priorities local authorities must take account of the public Health outcomes framework which has excess winter deaths as an indicator. Further discussions are planned to access the use of NHS and Public Health funding to meet this winter pressure.
- 6) A significant element of Adult social care transformation expenditure has been included in the council's bid for capital direction funding. If the bid is successful this may create an opportunity to capitalise a proportion of the revenue expenditure included in the current forecast.
- 7) By further integrating the Framework I and Agresso application, greater visibility of those packages that require attention can be identified which may result in cost reduction.
- 8) A process has been instigated to reduce high cost care plans through the active targeting of Disabled Facilities Grants towards cases where the provision of adaptations can provide short to medium terms savings.



# CHILDREN'S WELLBEING

## BUDGET CONTROL MEETING UPDATE REPORT

### SEPTEMBER

MEETING DATE:

23<sup>RD</sup> OCTOBER 2013

#### Purpose

To provide the Chief Officer Finance with assurance on:

- the robustness of budget control and monitoring within People's Services,
- to highlight key risks within the directorate
- to identify any mitigation which can be achieved to reduce the impact on the overall Council budget for 2013/14.

#### 1. Key Messages

1. The latest projected outturn is a net overspend of £39k. A deterioration of £131k since the August position, which is mostly attributable to increased placement pressures in safeguarding with some offsetting mitigation.
2. Overall new pressures total £507k of which the key components are:

Pressure	£000's
The extension of one residential placement and a new one approved increased projections.	179
Safeguarding now reflects cost of market forces and recruitment.	85
A new court ordered remand. This has been built in for 90 days due to the nature of the placement.	60
New placement from residential into complex needs.	55
Extension of four agency fostering placements in addition to a new mum and baby placement replacing an existing placement.	54
Increase in transport commitments due to a missed accrual from the previous financial year.	44
Increase in court costs	30
<b>Total new pressures</b>	<b>507</b>

3. A total of £376k has been mitigated by:

<b>Mitigation</b>	<b>£000's</b>
Increase in Education Support Grant funding. The DFE have indicated that they had overstated the impact of schools moving in-year to academies. The revised estimate has been adjusted for anticipated local moves to academies for the remainder of the year.	200
Hold on vacancies within children centres and Intensive Family Support.	110
A review of the business support projections has given rise to a decrease in commitments.	43
Underspend of within early years.	23
<b>Total new mitigation</b>	<b>376</b>

4. In summary the position for children and wellbeing is:

	<b>£000's</b>	<b>£000's</b>
Agency Staff (including Social Workers)	(802)	
School Transport	(459)	
Residential Placements (including Agency Fostering, 16+, and Complex Needs)	(482)	
Court Costs	(335)	
Secure Remands	(221)	
Investment in Newly Qualified Social Workers	(187)	
Loss of Extended Rights to Schools Grant	(176)	
Special Guardianship / Residential Allowance	(58)	
Other Pressures	(41)	
<b>Total Pressures</b>		<b>(2,761)</b>
Education Support Grant	2,076	
Hold on vacant posts	530	
Reduction in Youth Services	105	
Other savings	11	
<b>Total Mitigation</b>		<b>2,722</b>
<b>Total September Outturn Position (over) / underspend</b>		<b>(39)</b>

## 1.1. Current Status – Revenue Budget by Service

Service	Annual budget			September Forecast Outturn	Sept OT Variance	Aug FC Variance	Change to forecast
	Budget Expend	Budget (Income)	Net Budget		Projected (Over)/underspend	Under / (Over) Spend	(Adv) / Fav
	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Directorate Costs	713	(240)	473	473	(0)	(0)	0
<b>Directorate Costs</b>	<b>713</b>	<b>(240)</b>	<b>473</b>	<b>473</b>	<b>(0)</b>	<b>(0)</b>	<b>0</b>
Service Management	127	0	127	154	(27)	0	(27)
Children's Safeguarding *	12,972	(202)	12,770	13,683	(913)	(575)	(338)
Additional Needs	6,117	(3,955)	2,162	2,217	(55)	(0)	(55)
Locality Services	2,923	(395)	2,528	2,343	185	125	60
<b>CYP Provider Services</b>	<b>22,139</b>	<b>(4,552)</b>	<b>17,587</b>	<b>18,397</b>	<b>(810)</b>	<b>(450)</b>	<b>(360)</b>
Service Management	507	0	507	490	17	20	(3)
Learning & Achievement *	6,786	(2,269)	4,517	4,824	(307)	(292)	(15)
Youth Services	693	(168)	525	419	106	104	2
Children's commissioning	1,811	0	1,811	1,772	39	41	(2)
Performance and Business Support	1,763	(159)	1,604	1,562	42	(8)	50
Sufficiency and Capital	8,190	(7,219)	971	989	(18)	(9)	(9)
Quality and review	406	0	406	414	(8)	(14)	6
<b>Children's Commissioning</b>	<b>20,156</b>	<b>(9,815)</b>	<b>10,341</b>	<b>10,470</b>	<b>(129)</b>	<b>(158)</b>	<b>29</b>
Education Support Grant				(900)	900	700	200
<b>Children's Wellbeing Directorate</b>	<b>43,008</b>	<b>(14,607)</b>	<b>28,401</b>	<b>28,440</b>	<b>(39)</b>	<b>92</b>	<b>(131)</b>

The above figures do not include £100m of school budgets funded from Dedicated Schools Grant

\*Education Support Grant - £1m for Safeguarding and £0.2m for Transport within Learning and Achievement.

## 1.2. Savings Plans

CHILDRENS WELLBEING		
Delivered	Anticipated	At Risk
£000's	£000's	£000's
3,991	1,272	23

Legislative changes and increased numbers of looked after children put achievement of the planned reductions in residential and agency foster care placements at risk. This is currently mitigated by the use of ESG.

## 1.3. Savings Schemes – RED status

Ref	Scheme	Target	Reported at Risk	Risk	Estimated recoverable 13/14	Expectation 14/15
		£000's	£000's		£000's	£000's
1	Sale of outdoor equipment	50	23	Did not achieved estimates at auction	0	0
	<b>TOTAL</b>	<b>50</b>	<b>23</b>		<b>0</b>	<b>0</b>

## **Details of Risk / Mitigation**

1 – Sale of equipment did not achieve the value expected. The closure of youth centres has identified other savings.

## **2. Headlines by Service Area**

### **2.1. Children's Provider Services – overspend £886k**

#### **Key Points**

##### Locality Services

1. Underspend of £166k within locality services due to new re-structure and not filling vacant posts for the remainder of the financial year.
2. There is now a hold on all children centre vacancies saving £26k to the end of March.

##### Safeguarding

3. External placement pressure currently stands at a gross pressure of £332k, reduced to £107k after offsetting by ESG funding. This is as a direct result of increased referrals and case numbers following the Ofsted inspection in September 2012.
4. There are now two ordered remand placements. The gross pressure of which is £221k reduced to £59k after offsetting ESG funding.
5. The current agency staff forecast overspend is £854k, (this includes £493k identified in July and mitigated by ESG, £271k pressure for all agency to be in place until 31<sup>st</sup> March, £60k for market forces supplements payable from 1<sup>st</sup> November and balance of recruitment costs of £30k).
6. Court costs currently predicting an, overspend of £335k, which is in part due to the requirement for specialist legal advice on two complex cases.
7. In house fostering is predicting an underspend of £20k due to vacancies within the fostering team, and in house placement costs of £74k give the service a total underspend of £0.1m. This is offset by a special guardianship overspend of £74k.
8. A hold on vacancies within intensive family support gives an, underspend of £50k.

#### **Risks**

9. Continued increases in referrals.
10. Complex needs cases currently operating at above budget capacity, there are circa 5 cases that could come to panel before the end of the financial year.

#### **Opportunities**

11. The residential and complex needs placement panel are due to be merged in order to gain efficiency. This will be chaired at Assistant Director level. The aim is to develop effective local solutions for the more complex cases on a multi-agency basis that reduces the need for out of county residential placements across education, health and social care..
12. There are currently four posts due for interview shortly. If successful this will start to reduce agency costs from February 2014.



## 2.2. Children's Commissioning – overspend £129k

### Key Points

13. School transport has pressures of £459k. This is primarily due to the budget being set anticipating £200k as a result of transporting to nearest school only, and charging for post 16 SEN transport provision.

	September Outturn Position		
	Budget £000's	Actual £000's	Variance £000's
Other Transport Costs	57	60	(3)
Direct Transport Costs	4,404	4,877	(473)
Transport Income	(1,009)	(1,034)	25
Extended Rights to Schools Grant	(176)	0	(176)
Transport Staff	801	809	(8)
<b>Total Before Mitigation</b>	<b>4,077</b>	<b>4,712</b>	<b>(635)</b>
Education Support Grant		(176)	176
<b>Total Transport Outturn</b>	<b>4,077</b>	<b>4,536</b>	<b>(459)</b>

The main pressure within direct school transport costs are:

Breakdown of Transport Overspend	
Savings target for 2013/14	(200)
Invoice not accounted for in 2012/13	(48)
Increased SEN Routes (post April 2013)	(30)
Re-tendering of Wigmore Routes	(21)
Reduction in base budget in previous years	(125)
Increase in SEN and post 16 riders	(49)
<b>Total Overspend</b>	<b>(473)</b>

14. There is an underspend within early years of £176k due to vacancies. A review of this service has been completed in order to provide a more integrated approach.
15. Youth Services currently shows a £105k underspend due to staff vacancies and closure of the service.
16. There is a remaining net £49k underspend arising from staff vacancies and contract spend offset by shortfall in Service level Agreement income.

### Risks

17. Bus operators, withdrawal from another 5 school transport routes which will cause an additional pressure of circa £50k.

## **Opportunities**

18. The use of circa £50k Dedicated Schools Grant against eligible expenditure currently not fully utilised within Admissions.
19. Return of winding-up funding from the former Connexions building. The amount is still with the liquidators and therefore there is no indication at present when this will be received.
20. Potential savings within the Youth Offending Contract since the move to a West Mercia Partnership Agreement,

## ECONOMY, COMMUNITIES AND CORPORATE MONTHLY BUDGET CONTROL REPORT

MEETING DATE:

23<sup>RD</sup> OCTOBER 2013

### Purpose

To provide the Chief Officer Finance with assurance on:

- the robustness of budget control and monitoring within Economy, Communities & Corporate Directorate
- to highlight key risks within the directorate
- to identify any mitigation which can be achieved to reduce the impact on the overall Council budget for 2013/14.

### Key Messages

- The Directorate currently reports an over spend of **£80k**, which is slightly worse than the position reported in August, mainly due to the increase in the expected pressure on Land Charges.
- Cabinet have budgeted additional savings schemes to assist Adults Well-being pressures of £1.2m. Schemes approved to date will result in £328k of this being achieved and budget has been transferred to Adult Well-being. There is a further £68k anticipated and once approved will also be transferred to Adults Well-being.

### 1.1 Current Status – Revenue Budget

The current revenue budget position based on the results to the end of September 2013 are summarised in the table below:

Service	Budget Expend £000	Budget (Income) £000	Net Budget £000	Net Forecast Outturn £000	Projected Under / (Over) spend £000
Economic, Environment and Cultural Services	12,641	(8,741)	3,900	3,846	54
Place Based Commissioning	32,287	(4,513)	27,774	27,597	177
Law, Governance & Resilience	3,760	(890)	2,870	3,353	(483)
Chief Finance Officer & Corporate Management	51,999	(48,056)	3,943	3,656	287
Property Services	6,110	(4,525)	1,585	1,736	(151)
Community & Customer Services	4,467	(695)	3,772	3,772	0
Director & Management	273	(36)	237	201	36
<b>Economy, Communities &amp; Corporate</b>	<b>111,537</b>	<b>(67,456)</b>	<b>44,081</b>	<b>44,161</b>	<b>(80)</b>

## 1.2 Savings Plans – Summary

The total savings plan for the Directorate is £7.6m of which £6.2m is included in the within the approved budget of £44m. The plan includes additional savings schemes of £1.4m which are subject to Cabinet or Cabinet Member approval. Since last reported some schemes have been agreed the budget representing agreed savings of £328k have been vired to help meet pressures in Adults Well-being.

This plan also includes £300k in relation to procurement savings managed within the Directorate but held centrally. Commercial Board has agreed this target to be achieved through procurement projects in 2013/14 include printing, stationery, cash collection and mail services. Whilst savings of £150k are anticipated, the remaining £150k is at risk and this pressure is reported centrally.

£1.2m of the savings is at risk which relates to savings schemes not yet approved and included in the table below and the Procurement saving above.

## 1.3 Savings Schemes – RED status

The following schemes have been identified as at high risk of non delivery.

Scheme	Saving Plan 13/14 £000	Anticipated 13/14 £000	Vired to AWB £000	At Risk 13/14 £000	Anticipated FYE £000	Status of Decision
<b>ADDITIONAL SAVINGS TO BE VIRED TO ADULTS WELL-BEING</b>						
Heritage Services Review	194	48	48	146	239	Cabinet Decision 19th September (Option2)
Library Services Review	250	86	86	164	97	Cabinet Decision 19th September (Option2)
Planning Services cost reductions (inc	291	58		291	490	Cabinet Member Decision - October 2013. Note 1
Countryside Services Review	40	0		40	300	Cabinet Member Decision November 2013
Closure/Transfer of toilets	187	22	22	165	99	Cabinet Member Decision 16th September 2013
Increase charges for garden waste sac	80	20	20	60	40	Pending Cabinet Member Decision October 2013
CCTV Review	50	50	50	0	82	Cabinet Member Decision 31st July 2013
Community Protection Review	150	29	29	121	101	Cabinet Member Decision 14th August - pending outcome of statutory consultation 19th October 2013
Increase car parking/on-street parking	(195)	(25)	(25)	(170)	250	Cabinet Member Decision - Awaiting Proposal from Balfour Beatty
Community Regeneration	48	48	48	0	96	Scheme revised and no longer needs Cabinet Member Decision
Members allowances	60	0		60	0	Unlikely to be delivered
Customer Services	80	50	50	30	251	Cabinet Decision 19th September (Option2) - mitigates original ECC savings £77k target above
Reduce Public Notices	10	10		10	10	Awaiting legal advice on minimum statutory requirement
Advertising & Publicity (Council wide p	150	0		150	0	Review concluded - note 2
<b>ADDITIONAL SAVINGS TOTAL (to be vired to Adults Well-being)</b>	<b>1,395</b>	<b>396</b>	<b>328</b>	<b>1,067</b>	<b>2,055</b>	
Note 1 - Total saving anticipated is £582k however £92k of saving offsets existing HERS savings schemes						
Note 2 - Review has now concluded that the original estimate was over optimistic and this level of savings cannot be delivered. Further work will be carried out to identify what can be delivered and the cost associated with generating advertising income.						

## 1.4 Headlines by Service Area

The Directorate budget has reduced by £70k since last reported. The virements are:

Virements	£000
Disaggregation of Information Governance (from ODT)	41
One off funding for Customer Services Compensations	28
Transfer of Housing staff to Energy & Environment Management Team	38
Transfer of savings target to Communications	18
Slippage in loan repayment relating to capital scheme (LED Street Lighting & Solar PV Panel Scheme)	133
Savings agreed by Cabinet - vired to Adult Well Being	(328)
<b>TOTAL</b>	<b>(70)</b>

Legal proceedings were commenced against the Council (and other Councils) by private search companies which could result in this Council having to repay around £367k putting pressure on 2013/14 budgets. The outcome of this claim will have an impact on the way we deliver this service in the future.

As previously reported, there is a projected overspend for the year in relation to Legal Services. The overspend of £120k reflects the increased cost of additional in house expertise in key areas of planning, childcare and employment law and will lead to reduced outsourcing of legal work to solicitors and counsel which, in previous years, has cost the authority in excess of £400k p.a. across the organisation.

The Corporate Management budget includes a base budget of £314k for Non -Discretionary Rate Relief. Further guidance on the rates retention scheme indicates that this is not now required to be paid into the Collection Fund.

There is currently a pressure of £151k on Property budgets for 2013/14. The budget has been re-aligned since last reported to allocate the service savings target and take account of income targets no longer achievable. This re-alignment resulted in a reduction of income budgets of £148k thereby reducing expenditure budgets by the same amount. This includes the loss of rental income as a result of the impact of selling Council land and property assets in the current year which is partly mitigated in year only by the expectation of £75k for disposals less than £10k.

Based on parking income levels for the first six months of the year, there is an expected shortfall of £95k for the year; this is partly mitigated by one off premises savings relating to the temporary closure of Garrick House Car Park for repair.

## 1.5 Other Risks & Opportunities

There is a risk in relation to disputed items in the Amey contract, as previously reported.

There is also the risk of the cost of emergency repairs in response to severe weather conditions, such as flooding or harsh winter conditions. Whilst DCLG assist in the funding of these costs, through the Bellwin scheme, Herefordshire would have to fund the first £454k within current budgets.



# CHIEF EXECUTIVE & ORGANISATIONAL DEVELOPMENT TEAM MONTHLY BUDGET CONTROL REPORT

MEETING DATE:

23<sup>RD</sup> OCTOBER 2013

## Purpose

To provide the Chief Officer Finance

- the robustness of budget control and monitoring within the Chief Executive and Organisational development team
- to highlight key risks within the service
- to identify any mitigation which can be achieved to reduce the impact on the overall Council budget for 2013/14.

## Key Messages

- The directorate currently reports an underspend of £83k, no change from the position reported in August 2013.

### 1.1 Current Status – Revenue Budget

The current revenue budget position based on the results to the end of September 2013 are summarised in the table below:

Service	Budget Expend £000	Budget (Income) £000	Net Budget £000	Net Forecast Outturn £000	Projected Under / (Over) spend £000
ICT	5,402	(495)	4,907	4,882	25
Human Resources	1,437	(132)	1,305	1,305	
Comunication & Web	622	(80)	542	542	
Management & Support	355		355	355	
Organisational Development Team	7,816	(707)	7,109	7,084	25
Chief Executive	380	0	380	322	58
Chief Executive & ODT	8,196	(707)	7,489	7,406	83

### 1.2 Savings Plans – Summary

The total savings for this area total £2.5m made up of the original savings plus additional savings recently identified, as part of the Chief Executive Review.

### 1.3 Savings Schemes – RED status

All saving are delivered or anticipated excluding £160k. This relates to the changes in the agreed Employment Reward Proposals from 3 days unpaid leave to 2. This is a Council wide savings target and will not be achieved.

## 1.4 Other Risks & Opportunities

The Directorate budget has reduced by £107k since last reported. The virements are:

<b>Virements</b>	<b>£000</b>
Disaggregation of Information Governance & Research budget	(41)
One off funding for Customer Services Compensation	(28)
Transfer of savings target to Communications	(18)
Transfer of Performance post to Children;s Well-being)	(20)
<b>TOTAL</b>	<b>(107)</b>

Whilst a reduced service level agreement for 2013/14 has been agreed with Hoople in relation to training and is expected to deliver a one off saving of £100k, the impact of this variation is currently being assessed to evaluate any related pressures.



# PUBLIC HEALTH

## BUDGET CONTROL MEETING UPDATE REPORT

### SEPTEMBER

MEETING DATE:

23<sup>RD</sup> OCTOBER 2013

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#### Purpose

To provide the Chief Officer Finance with assurance on:

- the robustness of budget control and monitoring within Public Health
- to highlight key risks within the department
- to identify any mitigation which can be achieved to reduce the impact on the overall Council budget for 2013/14.

#### 1. Key Messages

- 1 There is currently a contribution from the public health grant of c£165k, plus a further £90k to commercial services, which is a commitment for the next 2 years.
- 2 This contribution or collaborative funding to other areas is the only valid use of a “redirection” of the public health grant. Savings cannot be offered up to the council bottom line under the conditions of the grant.
- 3 Our contribution to other areas which takes pressure off those budgets currently equates to 2.1% of the PH grant, which is in line with Worcester (2.2%) and Shropshire (2.0%), and for very similar purposes.
- 4 Transformational commissioning work that is planned must take place to get money out of NHS contracts in order to free it up for use across other council services to increase the percentage as much as possible, the aim being the 20% target set out for public health. The funding is not free at the moment, and any slippage in the budget currently is lined up against the NHS pressures being worked through. In addition, we can expect our grant to be reduced due to the rectification of the “egregious errors” in the NHS allocation that will most likely be sent our way through a change to the allocation in 2014-2015. We are also currently 21.4% above our per head target and there is a fair pace process in motion nationally to amend allocations to target. Many areas are at a significant distance from target therefore we can expect money to be shifted around the system. It has also been stated this week that the council, as part of its public health responsibilities, will have to pick up the cost of a medical reviewer from October 2014 that should cost £200-400k per year- this will have to come out of the existing budget, as no further allocation for this will be made. The best case scenario with this figure at the moment is contingent on a collaborative arrangement with neighbouring authorities.
- 5 The current underspend of £262k reflects consultant and other vacancies. A consultation on a review of the establishment has been completed and the assumptions are based on all posts filled during October 2013.
- 6 There is a further risk of £0.5m in relation to cervical cytology from the NHS Area Team, in addition to the £500k CCG pressures. This is not included within the outturn above but is a material risk to achieving a balanced budget. This issue is currently being worked through the system.

## 1.1. Current Status – Revenue Budget by Service

Service	Budget Expend	Budget (Income)	Net Budget	August Forecast Outturn	Projected (over)/ Underspend
	£000's	£000's	£000's	£000's	£000's
Public Health Grant	0	(7,753)	(7,753)	(7,753)	0
Pay Budget	1,873	0	1,873	1,689	184
Commissioning Budget	5,522	0	5,522	5,517	5
Contingency Budget	350	0	350	277	73
<b>Public Health Directorate</b>	<b>7,745</b>	<b>(7,753)</b>	<b>(8)</b>	<b>(270)</b>	<b>262</b>

### KEY POINTS

- 1 Due to the current recruitment freeze vacant posts within the structure aren't in the recruitment process. This is a risk to the delivery of the transformational commissioning strategy that will enable collaborative use of the public health grant across council services.
- 2 Commitments have been set against the contingency budget; £97k to support children's wellbeing, £138k, costs not included within transition from NHS and £41k for additional overheads.
- 3 These budgets are due for review on a bi-monthly basis therefore a robust review of any uncommitted expenditure will be completed in October for the next reporting cycle.

The net budget reflects the corporate savings target relating to 2 days additional leave. This does not apply to those TUPED over on NHS terms and conditions.

### Risks

1. The £0.5k risk in relation to cervical cytology testing has been challenged with the Local Area Team and is currently working through a resolution. Regardless of in-year outcome there is an implication that this amount could be taken from the 2014/15 ring-fenced grant allocation.
2. Concerns regarding the capacity of two major services currently commissioned by public to cope with practice pressures are being addressed by intensive work with the providers. The initial analysis indicates an immediate need for circa £100k of investment to make one of the current services safe. This work has also indicated an additional £700k will need to be added to the service so that it is safe and fit for purpose going forward. This is contingent on the transformation work on child facing front line health services beginning before the end of the financial year, which will take 6 to 12 months to complete.

### Opportunities

1. Work to identify opportunities to align funding in the current budget against pressures is ongoing.
2. Contingency for some service pressures was built into the new council public health budget from the beginning of the year.
3. Slippage in the recruitment process as described above offer vacancy contingency for pressures but risks delivery of use of the grant for pressures.
4. The work programme for redesign of inherited contracts and programmes for 2014-2015 is essential for being able to use the grant collaboratively across council services.

## Capital Forecast

1. The capital outturn forecast for 2013/14 as at the end of September totals £53.5 million a decrease of £0.5m from August's projected outturn. This is a result of expected cash spend decrease against affordable housing grants and housing revolving loans, both schemes have commitments that fall into 2014/15 year. A summary by directorate is provided in Table A below.

**Table A – Capital Outturn Forecast & Funding Summary**

Directorate	2013/14 Capital budget £'000	Capital spend to end of September £'000	Profiled original budget to end Sept £'000	Spend variance to original budget £'000	Projected outturn £'000
Adults Wellbeing	3,422	561	1,201	(640)	2,905
Childrens Wellbeing	9,508	4,106	3,686	420	9,586
Economy, Communities & Corporate	41,828	10,947	15,637	(4,690)	39,590
Chief Executive & Organisational Development	1,248	6	203	(197)	1,248
Contingency	242	90	-	90	242
<b>Total</b>	<b>56,248</b>	<b>15,710</b>	<b>20,727</b>	<b>(5,017)</b>	<b>53,571</b>
<b>Capital Grants</b>	<b>30,463</b>				<b>30,594</b>
<b>Prudential Borrowing</b>	<b>21,905</b>				<b>19,645</b>
<b>Capital Receipts</b>	<b>3,819</b>				<b>3,271</b>
<b>Reserve funding</b>	<b>61</b>				<b>61</b>
<b>Total</b>	<b>56,248</b>				<b>53,571</b>

## 2. Table B - Schemes with an outturn forecast exceeding £500k in 2013/14

Scheme	Spend to end September £'000	Profiled Budget to end Sept £'000	2013/14 Annual Forecast £'000	Comments
<b>Adults Wellbeing</b>				
Disabled Facilities Grants	496	466	1,119	Individual grants awarded through an application process, enabling independent living
Adult social care	3	-	636	Single capital pot grant funding for capital spend to be used on equipment purchases
<b>Childrens Wellbeing</b>				
Leominster Primary School	851	-	3,507	Works started on site, new school to open in October 2014
Blackmarstons Special School	2,451	2,719	2,719	Refurbishment scheme physically complete
Condition property works	350	-	1,634	Annual programme of works at various school sites committed on a highest need first basis
<b>Economy, Communities &amp; Corporate</b>				
Local Transport Plan including additional maintenance allocation	4,305	4,400	11,376	Annual programme of capital works to highways, footways and bridges
Corporate accommodation	1,365	2,449	7,690	Works started at Plough Lane, the new heritage, archive and record centre and Civic hub 2
Fastershire broadband pilot	-	1,333	4,000	Survey work underway on providing faster broadband service to rural areas, first funding claim yet to be approved
Masters House, Ledbury	534	865	2,076	Refurbishment works have commenced and will continue into next year
Link road	526	953	1,921	Anticipated one year construction programme expected to start in late summer of 2014
Connect 2	1,456	711	1,695	New bridge on site with continuing works leading to an opening before Christmas
Hereford Enterprise Zone	342	653	1,566	Utilities, access and public realm works underway to enable plot sales
Marches Redundant Building Grant Scheme	146	650	1,300	Grant funded grant awards following an approval process
Garrick House multi storey	1,061	1,146	1,146	Works to complete and car park to re-open before Christmas trade
LED street lighting	29	-	1,131	Improvements will generate revenue cost savings
Car Parking Strategy	13	499	999	Includes works underway at station approach

Solar Photovoltaic panels	-	45	979	Installations will generate energy revenue cost savings
Unavoidable backlog maintenance including smallholding estate	-	300	600	Programme of essential property estate improvement works allocated on a highest need basis
<b>Chief Executive &amp; Organisational Development</b>				
Electronic Record & Document Management System	48	-	800	Information Management Programme improvement to systems works supporting flexible working
<b>Sub Total</b>	<b>13,976</b>	<b>17,189</b>	<b>46,094</b>	
<b>Schemes with a budget &lt;£500k in 2013/14</b>	<b>1,734</b>	<b>3,538</b>	<b>7,477</b>	
<b>Total</b>	<b>15,710</b>	<b>20,727</b>	<b>53,571</b>	

### Capital Receipts Reserve

- The opening capital receipts reserve balance totalled £2.7 million as at 1st April 2013. This has been increased by £0.4m from the sale of a smallholding and £1.0m from the auction of a portfolio of smaller investment properties held. This funding will fund 2013/14 capital spend, the majority on Hereford Enterprise Zone, which is expected to generate sales receipts in the near future.



This report ensures the council demonstrates best practice in accordance with CIPFA's recommendations in their Code of Practice for Treasury Management, by keeping members informed of treasury management activity.

**1. The Economy**

1.1. Recent economic events and statistics show the following:

- GDP growth in the first quarter was 0.3%, the second quarter was 0.7% and the first estimate for the third quarter showed the UK economy growing by 0.8%.
- The year-on-year Consumer Price Index (CPI) has been fairly stable in recent months. In July the CPI was 2.8% and in August and September 2.7%.
- The unemployment rate fell from 7.8% to 7.7% in the June to August quarter. The Bank of England's forward guidance suggested that the Bank Base Rate would not increase until the unemployment rate falls below 7.0%, elevating the significance of this figure.
- At their meeting in October the Monetary Policy committee noted that unemployment appeared likely to fall faster than first anticipated. However, they also expected inflation to remain low relieving upward pressure on the Base Rate which is still expected to remain at 0.50% until 2016.

**2. The Council's Investments**

2.1 At 30<sup>th</sup> September 2013 the council held the following investments:

Investment	Term	Maturity Date	Interest Rate	Amount invested	
				£m	£m
<u>Instant Access Bank Accounts:</u>					
National Westminster	N/A	N/A	0.50%	3.51	
Royal Bank of Scotland	N/A	N/A	0.70%	2.50	6.01
<u>Instant access Money Market Funds:</u>					
Ignis	N/A	N/A	0.43%	5.00	
Prime Rate	N/A	N/A	0.42%	0.96	5.96
<u>95 day notice accounts</u>					
Royal Bank of Scotland	N/A	N/A	0.95%	5.00	
Santander	N/A	N/A	1.10%	5.00	10.00
<u>1 month notice account</u>					
Close Bros	N/A	N/A	1.00%	5.00	5.00
<u>Fixed Term Deposits:</u>					
Lloyds	186 days	25/10/13	0.80%	3.00	
Nationwide	107 days	25/10/13	0.45%	3.00	
Barclays	365 days	01/11/13	1.07%	2.00	
Gateshead Council	549 days	18/11/13	1.10%	2.00	
Lloyds	111 days	25/11/13	0.70%	3.00	
Barclays	364 days	29/11/13	1.00%	1.00	
Barclays	365 days	05/12/13	1.00%	1.00	
Bank of Scotland	86 days	20/12/13	0.70%	4.00	
Barclays	367 days	21/04/14	0.87%	1.00	20.00
<b>Total</b>			<b>0.81%</b>		<b>46.97</b>

Shaded investment represents a term deposit made in September 2013.

- 2.2 The council's current eligible UK counterparties, together with the maximum maturity periods (as recommended by the council's treasury advisers, Arlingclose), are as follows:

Counterparty	Maximum maturity period from:	
	01/04/13	05/07/13
Close Brothers Ltd	100 days	100 days
Santander UK	100 days	100 days
Nat West and RBS	6 mnths	Overnight
Bank of Scotland and Lloyds TSB	6 mnths	6 mnths
Nationwide	12 mnths	12 mnths
Barclays	12 mnths	12 mnths
HSBC and Standard Chartered Bank	12 mnths	12 mnths

- 2.3 The council has earned interest on its investments as follows:

Month	Amount invested		Average rate of interest earned		Amount of interest earned / Forecast £	Budget £	Actual Surplus / Forecast £
	Actual / Forecast £m	Budget £m	Actual / Forecast %	Budget %			
Apr-13	30.41	30	0.85%	0.70%	20,987	17,500	3,487
May-13	50.50	40	0.86%	0.70%	37,098	23,000	14,098
Jun-13	52.57	40	0.84%	0.70%	36,360	23,000	13,360
Jul-13	51.18	40	0.84%	0.70%	36,744	23,000	13,744
Aug-13	49.75	35	0.83%	0.70%	35,156	20,000	15,156
Sep-13	50.52	35	0.82%	0.70%	34,118	20,000	14,118
					200,463	126,500	73,963
Oct-13	47.00	30	0.78%	0.70%	28,000	17,500	10,500
Nov-13	42.00	25	0.70%	0.70%	24,500	14,500	10,000
Dec-13	35.00	20	0.65%	0.70%	19,000	11,500	7,500
Jan-14	35.00	20	0.65%	0.70%	19,000	11,500	7,500
Feb-14	30.00	15	0.60%	0.70%	15,000	8,820	6,180
Mar-14	15.00	15	0.60%	0.70%	8,750	8,750	-
<b>Original budget and outturn</b>					<b>314,713</b>	<b>199,070</b>	<b>115,643</b>
<b>Savings already declared and budget increased</b>					<b>-</b>	<b>60,000</b>	<b>(60,000)</b>
<b>Revised budget and outturn</b>					<b>314,713</b>	<b>259,070</b>	<b>55,643</b>

- 2.4 The interest received in the six months to 30<sup>th</sup> September 2013 has exceeded budget due to both the amounts invested and the average interest rates achieved being higher than the budgeted amounts.
- 2.5 In recent months interest rates on the council's instant access bank accounts have fallen sharply. In order to maintain investment income the council has been utilising notice accounts and term deposits with an increased reliance on short-term borrowing to provide liquidity. However, the council has recently received notice that rates on the 95 day accounts are also being cut.



2.6 Interest rate reductions announced so far in 2013 are as follows:

	Rate as at 01/01/13	Date of Change	Revised Rate	Date of Change	Revised Rate
<b>Instant access accounts:</b>					
Bank of Scotland	0.85%			22/04/13	0.40%
Nat West Liquidity	1.10%	12/02/13	0.60%	19/08/13	0.50%
RBS Liquidity	1.10%	09/05/13	0.70%	02/12/13	0.60%
Santander	0.50%			21/10/13	0.40%
Barclays	0.65%			25/03/13	0.35%
<b>95 day notice accounts:</b>					
Nat West	1.20%	20/05/13	0.80%	22/10/13	0.60%
RBS	0.95%			09/01/14	0.80%
Santander	1.25%			22/10/13	0.55%
Further cuts in interest rates announced since last month's report.					

2.7 The council has given notice on all its 95 day accounts. In the case of National Westminster Bank and Royal Bank of Scotland the council needed to give notice at the beginning of July when Arlingclose reduced the recommended maturity limit to overnight.

### **3. The Council's Borrowing**

#### **Short-term borrowing**

- 3.1 The council is continuing its policy of utilising short-term borrowing from other local authorities to fund its capital programme and for short-term liquidity needs. These short-term interest rates are significantly below levels available from other sources.
- 3.2 Historically the council has always borrowed for longer periods at fixed interest rates. Whilst achieving stability in the amount of its interest payments, the council currently has a large cost of carry when comparing its fixed interest debt to current investment rates.
- 3.3 It is considered good practice to have an element of variable rate borrowing that removes or reduces this cost of carry and, to the extent that the level of short-term debt does not exceed the level of the council's investments, when interest rates rise increased investment income provides a hedge against increased borrowing costs.
- 3.4 The council's Treasury Management Strategy includes various prudential indicators as required by CIPFA's Prudential Code. One of the indicators is the upper limit for variable interest rate exposure. This limit is set with the approval of the council's treasury adviser and in recent years the limit has been set at 25%.
- 3.5 The Treasury Management Strategy for 2013/14 forecast that further borrowing of £34 million would be needed for 2013/14 and the borrowing budget was based on this figure. Even if the whole of this years borrowing was short-term the council would still be within the approved limits for variable borrowing.
- 3.6 The council can only borrow up to its Capital Financing Requirement, which represents the need to borrow for capital spend, and cannot borrow beyond this to finance the revenue budget.

3.7 At the end of September 2013 short-term borrowing from other local authorities consisted of nine loans totalling £33 million. These loans were for periods ranging from 58 days to 364 days with interest rates varying from 0.33% to 0.42% and averaging 0.39% (including brokers commission).

**Long-term borrowing**

3.8 No long-term loans have been taken out in the period to date.

3.9 In mid-September PWLB rates peaked but they have since fallen back. For example on 11<sup>th</sup> September the 20 year EIP rate reached a peak of 4.03% but today (29<sup>th</sup> October) the “Standard Rate” is 3.64%.

3.10 The medium term trend is for PWLB rates to increase however in the short-term they are expected to be volatile and sensitive to changing economic news and market sentiment.

3.11 The Treasury Management Strategy for 2013/14 estimated that additional new loans of £34 million may be needed to cover both borrowing required for the 2013/14 capital programme and the forecast fall in council reserves (which mean that the council has to externalise internal borrowing from previous years). The current position is summarised below.

<b>Summary of Borrowing Budget</b>	<b>Revised Budget</b>	<b>Forecast</b>	<b>(Over-spend) / Saving</b>
	<b>£m</b>	<b>£m</b>	<b>£m</b>
<b>Minimum Revenue Provision</b>	9.58	9.58	-
<b>Interest on existing PWLB and bank loans (January 2013 position)</b>	5.65	5.65	-
<b>Variable rate borrowing for 2013/14</b> Rollover £12 million of short-term LA loans taken out for 2012/13 at an interest rate of 0.60%	0.07	0.07	-
Additional £17 million of short-term LA loans for 2013/14 (at an interest rate of 0.60%)	0.10	0.10	-
<b>Fixed rate borrowing for 2013/14</b> Budget: £17 million of EIP loans at 3.20% taken out mid-year	0.27	0.27	-
<b>Slippage in capital programme</b> Slippage of £7m of capital spend compared to the specific schemes included in original budget (£3m relating to Broadband)	-	(0.08)	0.08
<b>Reduction in budget contributions from service areas</b>	(0.13)	-	(0.13)

<b>Less capitalised interest (see note below)</b>	(0.30)	(0.30)	-
<b>Forecast overspend compared to budget</b>	<b>15.24</b>	<b>15.29</b>	<b>(0.05)</b>

3.12 The council is able to capitalise interest costs relating to interest paid on borrowing used to fund large capital schemes that take substantial periods of time to get to the point at which the assets may be utilised. Such interest, incurred at the construction or installation phase, may be added to the cost of the associated asset. As can be seen from the table above, capitalised interest of £300,000 has been included in the 2013/14 budget for capital financing costs.

**4. Summary of Outturn Position**

4.1 The current net treasury position, compared to budget, is estimated to be break-even with an overspend on the borrowing side being offset by a surplus on investment income.

<b>Summary of Budget underspend</b>	<b>£m</b>
Investment income receivable	0.05
Interest payable on borrowing	(0.05)
<b>Total (overspend) / savings</b>	<b>0.00</b>





<b>MEETING:</b>	<b>CABINET</b>
<b>MEETING DATE:</b>	<b>21 NOVEMBER 2013</b>
<b>TITLE OF REPORT:</b>	<b>Children with Disabilities: Short breaks and Respite service provision</b>
<b>REPORT BY:</b>	<b>Lead Commissioner (Short Breaks)</b>

## 1. Classification

Open

## 2. Key Decision

This is a Key Decision because it is likely to result in the Council incurring expenditure which is, or the making of savings which are, significant having regard to the Council's budget for the service or function to which the decision relates; and

because it is likely to be significant in terms of its effect on communities living or working in an area comprising one or more wards in the County.

NOTICE has been served in accordance with Part 3, Section 9 (Publicity in connection with key decisions) of The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012

## 3. Wards Affected

County-wide

## 4. Purpose

To seek approval to commit Council funding of up to £1.3m (£443k per annum) over the next three years in the procurement of services for children and young people with disabilities. This is part of a £3.3m (£1.1m per annum) pooled budget between Herefordshire Council and the Clinical Commissioning Group (CCG).

## 5. Recommendation(s)

THAT:

- (a) **funding commitment of up to £1.3m over three years be approved as the Council element of a total pooled budget of £3.3million over the next three year period to support the awarding of contracts for short break and respite care services for children and young people aged 0-19 years with significant disabilities in Herefordshire**

## **6. Alternative Options**

- 6.1 It is the responsibility of the Local Authority to provide short breaks for carers of disabled children (Breaks for Carers of Disabled Children Regulations 2011). Contracts are coming to an end in January 2014 and must be replaced with new arrangements to ensure the availability of services. The Council and CCG have previously signalled the intent to review and re-commission short breaks provision to improve equality of access and choice, improve quality and ensure good value for money. A joint commissioning and tendering process is nearing completion, however, non-approval of the funding commitment would cause a delay or halt in the issuing of new service contracts and uncertainty for children and families and service providers.

## **7. Reasons for Recommendations**

- 7.1 The purpose is to obtain approval of the council contribution of up to £1.3m over three years to a pooled budget of £1.1 million per annum; this resource will fund a range of commissioned services providing short breaks and respite care services for children & young people from January 2014. This is a jointly funded procurement between the Council and Herefordshire Clinical Commissioning Group.
- 7.2 The Local Authority and the Herefordshire Clinical Commissioning Group both have a statutory duty to support the needs of children with disabilities.
- 7.3 It is the responsibility of the Local Authority to ensure short breaks are available for carers of disabled children (Breaks for Carers of Disabled Children Regulations 2011).
- 7.4 The Children Act 1989 establishes the assessment duty and also requires the provision of certain specific services, particularly residential and foster care short breaks.
- 7.5 The Children Act 1989 creates a general duty on children's services authorities to safeguard and promote the welfare of children within their area who are 'in need'. The definition of 'children in need' is if:
- (a) he is unlikely to achieve or maintain, or to have the opportunity of achieving or maintaining, a reasonable standard of health or development without the provision for him of services by a local authority...; or
  - (b) his health or development is likely to be significantly impaired, or further impaired without the provision for him of such services; or
  - (c) he is disabled.
- 7.6 Members previously endorsed a joint commissioning approach with the then PCT to put in place a range of short breaks and respite services. The Herefordshire Clinical Commissioning Group has confirmed their commitment to this exercise and their funding contribution.

## **8. Key Considerations**

- 8.1 This commissioning work contributes to the Council priorities to
- Keep children and young people safe and give them a great start in life
  - Enable residents to live safe, healthy and independent lives by
  - Encouraging individuals, communities and organisations do more for themselves and for their local area

- Radically reducing the costs, breadth and level of services we provide
  - Ensuring the services that we do provide are cost effective
- 8.2 For families of children with significant disabilities, regular short breaks are shown to improve the health and well-being of a family. They can prevent family crises or breakdown. They also build resilience and independence of a child with a disability and that of their siblings.
- 8.3 Providing short breaks for families is laid out in statute as a duty on the local authority. In Herefordshire the offer for children and families covering 0-19 years and provided across the county currently includes:
- Domiciliary care i.e. personal care in the home for the child e.g. bathing
  - Buddying and sessional support i.e. activities and care both within and away from home
  - Range of activities for children and young people e.g. boxing, playdays, youth clubs, school holiday clubs
  - Overnight respite within both 1 Ledbury Road or with agency carers
  - Support for families to manage direct payments
- 8.4 The Herefordshire Review of Services for Children and Young People with Disabilities and Complex Needs identified the availability of short breaks and respite care as a significant support to children, young people and families. A specific recommendation from the review was to commission an integrated range of short break provision and to pool resources across partner agencies to prevent overlap and support best value.
- 8.5 Short breaks services were originally commissioned through the Aiming High for Disabled Children initiative and contracts have been rolled over for a 3 year period. Procurement rules insist that public sector organisations regularly undertake re-procurement activities to ensure value for money is being achieved. Current contracts are due to cease in January 2014.
- 8.6 An analysis of numbers within Herefordshire show there are between 1,500 and 2,000 children at any one time with a range of disabilities. Within this the numbers of children currently accessing services by severity of their conditions are:
- Complex health and / or care needs – approx. 50 children and young people
  - Significant health and / or care needs – approx. 350-400 children and young people
  - Additional needs – approx. 1000 children and young people
- 8.7 The Commissioning Prospectus used in this procurement is a new approach in Herefordshire. It has been successfully used in other counties e.g. Birmingham, the Isle of Wight and more recently in East Sussex, Brighton and Hove. It promotes a collaborative approach with commissioners, providers and families coming together to determine how best to secure services that meet new and emerging needs and policies with a strong focus on outcomes.
- 8.8 The Commissioning Prospectus (appendix 1) offered organisations the opportunity to bid for approx. £1.1 million per annum of services to support disabled children, young people and their parent carers to access opportunities in community settings. The overarching outcome is that that disabled children, young people and their families are

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able to live ordinary lives as far as possible.

- 8.9 The prospectus indicates the CCG and Council's commitment to implementation of personal budgets which in time will include social care, health and education funding as part of the development of Education, Health and Care plans within the new Children and Families Bill. Personalisation offers choice, control and flexibility to families in offering personal budgets so that they can organise their own support that meets their children's needs. Not all families will choose to have a personal budget so the Council is still likely to need to procure some services directly. For families to have this choice and control there needs to be a wide range of services and activities available in the county; the prospectus invited organisations to achieve this.
- 8.10 The Commissioning Prospectus places equal weight on:
- Its value for money/cost
  - The quality of the service provided
  - The social capital of the service
- 8.11 A critical goal is to ensure sustainable services within the financial resource available to the Council and CCG that reduces demand for higher cost services for children now, and for when they become adults.
- 8.12 Parents and carers have been, and will continue to be, involved in the commissioning process. This has included helping to choose the organisations that will deliver future services. To ensure that the new services deliver what is needed parents and carers will also be involved in the ongoing monitoring of the contracts.
- 8.13 The intention is to ensure the services
- Meet the outcomes developed by and with parents and carers
  - Give the coverage across the county so there is less travelling needed
  - Cover the full age range
  - Help meet existing needs and fill gaps identified by parents and through an analysis of the data, and do so for some areas by working directly with universal providers to enable the market, rather than directly commission services
- 8.14 The tender was advertised on the Proactis and Supply2Health portals on 16<sup>th</sup> July 2013. The tender deadline was 16<sup>th</sup> September 2013. Twenty six projects were received from fifteen organisations. The bids were analysed and a high level overview was shared at the parent panel on 20<sup>th</sup> September. Evaluation panels covering quality, cost and social value have scored the tenders to arrive at recommendations for preferred providers. Negotiations have commenced with those selected to enable contracts to be awarded and to be live for the beginning of January 2014. Final contract awards will be approved by the Director of Children's Wellbeing. These new contracts will:
- Bring some new providers into Herefordshire to offer a greater choice for families
  - Increase the number of buddies / support workers available to support children and young people and provide a break for their parents
  - Provide a new foster carer service which will allow families to have overnight or day respite from caring for their children, either in their own homes or in the carer's home



- Continue to fund existing activity clubs in the short term and provide support and advice to help them find alternative funding, so that their service remains open but is no longer reliant on public sector funding.

8.15 We are looking at awarding new contracts against each Lot as follows:

<b>Service area</b>	<b>Contract amount (Council funding only)</b>
Complex health care including overnight	£102,000
Buddying	£168,000
Activity clubs	£36,000

This does not allocate the full £443k budget. The table just shows new contracts that can be awarded as part of the procurement exercise. Further work will need to be undertaken to ensure there are sufficient services in place to meet the council's statutory duty; this is likely to be in the region of £70k. The balance of the £443k budget needs to provide for spot purchase of one off placements (approx. £67k).

- 8.16 Whilst this is a real positive change that families wanted, there is still more that needs to be done. Not all Lots have been successful and there will need to be negotiation with preferred providers to ensure certain services are still be provided. In addition the Council and CCG will undertake development work with providers in Herefordshire to ensure continued choice of activities and services are in place for more families.
- 8.17 Providers were asked to identify how they would become self-sustaining over a three year period through charging and other business models. Providers struggled with this, and it is clear that there are alternative funding sources which are not being accessed by providers to reduce the reliance on diminishing public sector funding. Advice is being provided to ensure providers rethink their business models and funding sources.
- 8.18 The number and quality of tenders received was generally disappointing. This means that there are certain services that will take longer to develop to provide the flexibility and choice that parents and carers have asked for, in particular overnight respite care.
- 8.19 The Council and CCG will work with providers to ensure there is a continued good quality service for those with the highest needs. Over the next year work will continue to re-design the short breaks offer for children and young people with the most complex needs; parents and carers will continue to be involved in the re-design process.
- 8.20 Having a broad base of services available for families that are not funded by the council means that both self-funders and those with a personal budget will have choice and flexibility of provision.

## **9. Community Impact**

- 9.1 The short break and respite services and indeed the commissioning approach being taken is highly supportive to the local community. It is in line with the Council's priorities and budget plans for the next three years, with statutory provision, the priorities set out in Herefordshire's Yes We Can Plan and based on evaluation of current contracts, equality impact assessments and information from the Joint Strategic Needs Assessment and other local data. The services support the vision and many of the

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individual principles of the Health and Well-Being Strategy, specifically:

- **Principle 1: personal responsibility** – to recognise, actively promote and support the contribution made by family, friends, the community and other services in helping people to achieve good health and wellbeing, with support from professional services when required.
- **Principle 3: sustainable services** - to provide a unified service for everyone, through consistently good quality shared care and managed networks. Services will be financially viable, safe and sustainable and affordable for everyone.
- **Principle 4: working together** - facilitate the provision of care as close to home as possible and ensure easy access to acute hospital services when needed. Services will protect people's safety, independence and dignity.
- **Principle 5: a lifecourse approach** - to work with people throughout their lives to improve their healthy life expectancy. A vital part of this is sustaining a healthy workforce for the county.

- 9.2 The services being procured will meet many of the Councils Corporate Plan priorities (see above) by efficiently and effectively using resources and engaging customers. The commissioning approach will also support all aspects of service and partnership; *continually looking for improvement, resources are linked to outcomes, openness and accountability and prevention and early intervention.*
- 9.3 The Herefordshire Review of Services for Disabled Children, Young People and their families focused on whether accessible comprehensive provision was available to meet the health and social care needs of children, young people. The methodology used for the review involved the production of a needs assessment of children with disabilities; an audit of the current services; discussions with children, young people, parents and carers, staff and organisations; and exploration of research and good practice. Stakeholder analysis was undertaken to identify all interested and influential parties to be engaged and consulted with during the review.
- 9.4 Workshops, paper questionnaires and an on-line survey were used to directly consult with parents, young people and service providers to establish a comprehensive understanding of the effectiveness of local services.
- 9.5 In determining the local needs assessment use was made of the Thomas Coram Research Unit review of Disabled Children, commissioned by the Department of Children, Schools and Families. This indicates that between 1010 and 1547 children and young people can be classified as disabled within Herefordshire. The assumption based on the local needs assessment is that the Herefordshire disabled child population is 3.0% -5.4% of total child population. Further detail is in paragraph 8.5.
- 9.6 The production of the Commissioning Prospectus has engaged parents and providers over many months. The outcomes within the prospectus are directly those chosen by parents as being the most important for them and their children and young people.
- 9.7 It also overtly recognises the unique position community and voluntary organisations occupy by evaluating bids against both the traditional domains of Cost and Quality but also Social Capital. This step is in line with the introduction of the Evaluate! Toolkit, the Bulmer Foundation social value measurement system which has been agreed as part of the Herefordshire Council commissioning model.
- 9.8 Throughout the commissioning process there has been an ongoing communication

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strategy in place with service users and service providers. Change is difficult and can be particularly emphasised for many of our service users.

- 9.9 Any changes e.g. the end of a contract is assessed through equality impact assessments which consider the effect on service users and the provider. The results of these have been carefully considered alongside statutory requirements, priorities and the resources available.
- 9.10 Individual transition plans for children who have significant and complex needs are being put in place. These will be particularly relevant where a new provider is awarded the contract. For certain children this may mean a slower transition phase from one provider to another.
- 9.11 The approach taken with the prospectus is in line with the Council approach to encouraging local communities to become more self-reliant and for them to take on the challenge of running more services themselves. The Council's funding position means that this is now only one part of a bigger picture of the county's resources and assets that are available to support the most vulnerable members of society. Over the next year further service re-design work will be undertaken with the CCG both to develop the universal market and meet need where lots for contracts have not been awarded through this procurement process. This will ensure that there is a continued choice of activities and opportunities available for more families whether that is through self-funding, personal budgets or directly commissioned services.

## 10. Equality and Human Rights

- 10.1 This procurement activity does pay due regard to our public sector equality duty by ensuring that children with disabilities and their families are able to lead as far as possible normal family lives by accessing support and opportunities. Research shows that families with a disabled child often have greater emotional and financial strains than other families with able bodied children.

Note: Under Section 149, the "General Duty" on public authorities is set out thus:

"A public authority must, in the exercise of its functions, have due regard to the need to –

- eliminate discrimination, harassment, victimisation and any other conduct ... prohibited by or under this Act;
- advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- foster good relations between persons who share a relevant protected characteristic and persons who do not share it."

An Equality Analysis has been undertaken along with individual providers Equality Impact Assessments which will be reviewed when individual providers have been selected to consider the impact on existing services and potential new services.

The Analysis identifies three groups of children that could be affected through this process.

- Children and young people with complex and significant health and care needs
- Children and young people accessing short breaks and respite services
- Children and young people with an additional need (disability)

These first two groups are those that the council and CCG have a statutory duty to support. The procurement process and any subsequent action must ensure that these families receive the support they are assessed as requiring.

The third group are those children that are not assessed as needing statutory support and are therefore reliant on the universal market for support. The market in Herefordshire is under-developed and will require support from the council to ensure there is significant supply and breadth of services to enable choice for families. Activity clubs that are currently contracted with the council will be provided with short term funding to enable them to review their business model and look for other sustainable funding sources. These types of activities need to be maintained but can no longer be funded by council and CCG funding.

## **11. Financial Implications**

11.1 The total pooled budget available within the tender is £1,100,000 per annum. This is allocated approximately as follows:

- £600,000 which will be used to provide services for children and young people with complex health and/or care needs;
- £200,000 which will be used to provide services for referred children and young people with significant health and/or care needs;
- £200,000 which will be used to provide services for self-referred children and young people with significant health and/or care needs, and
- £100,000 which will be used to provide services for children and young people with additional needs.

11.2 These budget allocations are indicative and transferrable allowing flexibility in their allocation whilst retaining the relative amounts within each of the categories above. This means that, should an innovative project be suggested by a provider which includes aspects of provision against a number of the need areas described above, the money can be utilised flexibly to respond to this.

11.3 Some funding will be retained to enable the spot purchase of services for a small number of children whose needs will not be met through the commissioned services. These can be very costly packages of care. The Council will need to provide personal budgets for families that choose this and this flexibility will enable this to happen. Personalisation has also been included within the prospectus to allow changes in provider's contracts. As part of the implementation a co-ordination post will be recruited to ensure families are matched and supported with the most appropriate package of care; they will provide the valuable link between families, commissioners and providers and ensure the quality of services provided.

11.4 Significant savings have already been built into the funding available for this commissioning exercise. The amount being committed by the Council next year and the following two years equals a 46% reduction from 2011/12 budgets.

11.5 Providers, through the tendering process, were expected to submit offers which have accounted for a market rate profit level; this means that the financial settlement should be sustainable. Value for money is a key element of the evaluation stage scoring. All providers were asked to include parents making a financial contribution to their activities/services whilst considering equality of access for those who cannot afford to

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Further information on the subject of this Report is available from  
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pay. Providers were also asked to consider other funding sources and to seek to be self-sufficient after the 3 years of council funding. Through the evaluation and negotiation stages of the tender there was a strong emphasis on the statutory obligations on the Council and CCG and how those can be provided most cost effectively; if further savings can be secured they will be shared as appropriate across both the Council and CCG.

## **12. Legal Implications**

- 12.1 Under the Children and Young Person Act 2008 the Local Authority must offer short breaks as part of a preventative model. The responsibility of the local authority to provide short breaks for carers of disabled children came into effect on 1st April 2011 (Breaks for Carers of Disabled Children Regulations 2011). These place a duty on local authorities to have regard to the needs of carers who;
- would be unable to continue to care for their disabled child without a short break or would be able to care more effectively if breaks are given,
  - to look after other children of the family more effectively
  - or to take part in training education or leisure activities
  - or to carry out day to day tasks in running the household
- 12.2 The services being tendered for are classified as Part B services under the Public Contracts Regulations 2006. Thus they are not subject to the full EC procurement regime with its various tightly regulated procedures. Nonetheless the authority has a duty to conform to the wider EC principles of equal treatment, non discrimination and transparency. This duty can be satisfied by following the authority's own contract procedure rules which contain suitable provisions relating to advertising, tendering, evaluation and award.
- 12.3 The Commissioning Prospectus approach, whilst innovative in developing services with providers and service users will result in formal contracts with providers as laid out in the Councils Procurement Rules. The Procurement team within the Council are advising commissioning staff to ensure all current procurement rules are followed in this exercise. The Procurement team will lead on the formal procurement stages where expressions of interest and final bids are submitted.
- 12.4 The section 75 agreement between the Herefordshire Clinical Commissioning Group and the Council includes the arrangement of a pooled budget for short breaks and respite services with the Council acting as lead commissioner and pooled budget manager. The section 75 schedule commits partners to confirm funding for the 3 years of the contracts awarded with the provision that a minimum 6 months notice must be given by either organisation for any reduction in funding. This is to allow sufficient notice to be given to service providers to reduce or cease services.
- 12.5 The Children and Families Bill, currently in Parliament, will bring radical changes to the special educational needs (SEN) framework, subject to Royal Assent. The Department for Education are currently consulting on a draft new 0-25 SEN Code of Practice which will become statutory guidance. The Bill proposes a range of measures and would place legal duties on local authorities, early education providers, schools, colleges, health bodies and those who work with them for identifying children and young people with SEN, assessing their needs and providing support to them and their families. In particular it will replace SEN statements (for schools) and Learning Difficulty Assessments (for young people in further education and training) with single 0-25 Education, Health and Care Plans and give families and young people the right to a

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personal budget.

### **13. Risk Management**

13.1 The risk associated with the lack of appropriate bids has been recorded within the Children's Wellbeing Directorate risk log (RSK.CCS.004). Ongoing communication with service providers through meet the buyer events have been held throughout the process. If there is an insufficient range of services then negotiations will take place with selected providers to increase coverage where possible. Further tendering of individual "lots" may have to take place where there are no winning bids.

13.2 There is risk predominantly related to adverse publicity and the Council's reputation if there is a delay or the recommendation of this report is not agreed. Expectations have been raised with service users and providers; relationships with these stakeholders have improved from a very low base. There is also a statutory duty on the LA to provide short breaks for carers.

There are also risks from a small number of stakeholders with a preference for maintaining the status quo. This is being managed through ongoing communication and engagement to enable a common understanding of the facts emphasising the positive contribution this project will make to:

- a. maintaining service levels in an environment where budgets are reducing whilst increasing opportunities for service user choice and control of how services are provided
- b. securing more consistent standards of care across the County
- c. supporting what families want evidenced by the amount of engagement and positivity that families are now vocalising over the council's approach to this activity.
- d. Developing business opportunities for providers and drawing other funding into this area of work.

13.3 Risk exists if the Council does not adequately execute its implementation plan. This may result in dissatisfaction and undue anxiety amongst service users. Implementation will be phased and is closely linked with service user reviews to allow staff to assist with any changes.

13.4 If the decision is challenged at any point this will add a delay to awarding any new contract. In this case the current providers would be approached to extend services for a further limited period to allow time to respond to any challenge and for the new contract to be negotiated. Providers are already in discussion as to transition and hand over arrangements. Extending contracts would require a waiver to be agreed by the Director, legal and procurement services.

13.5 If the proposals are declined, the current arrangements will come to an end which will result in the cessation of these vital services. This would be in direct contravention of the duty of the local authority and would expose the Council to legal challenge from service users.

13.6 Contracts that are awarded will request certain flexibilities to change or vary services if required within the term of the contract. This includes confirmation of funding on an annual basis. With the ongoing pressure on budgets there may be the need to reduce, change or even de-commission these services before the end of the formal contract period. The Council standard contract and Compact allows this to happen provided

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sufficient notice is given to the provider and Equality Impact Assessments are undertaken.

- 13.7 Similarly there is a risk that the CCG financial stability will be under pressure over the three year period of these contracts. The section 75 agreement between the CCG and Council insists on a 6 month notice period of any changes in the level of funding by either party so that if necessary due notice can also be given to providers in any change in funding levels through their contracts.

## **14. Consultees**

- 14.1 A wide range of stakeholders (staff, service users, providers) were consulted as part of the original review of services for disabled children and young people in 2010/2011. This review resulted in the recommendation for a continuum of short breaks and respite services to be commissioned jointly by health and local authority.
- 14.2 Ongoing consultation and engagement as to the re-commissioning of services has occurred with parents / carers, through Herefordshire Carers Support Parent / Carer Forum and with some Special Schools and this will continue. A joint parent and provider event was facilitated to ensure providers heard directly what parents and families need.
- 14.3 Engagement with providers is also ongoing through Herefordshire Voluntary Organisations Support Service (HVOSS) and the Council's own Provider Forum. A series of workshops have been held with parents, carers, current and potential providers to shape the outcomes and related objectives. HVOSS are working with their member and affiliated organisations on this collaborative approach to service development.
- 14.4 The Children with Disabilities Steering Group is a multi-agency group put in place to ensure the recommendations of the 2010 review were actioned. They have also been engaged with informing the details within the prospectus.

## **15. Appendices**

- 15.1 Appendix 1 – Commissioning Prospectus

## **16. Background Papers**

None



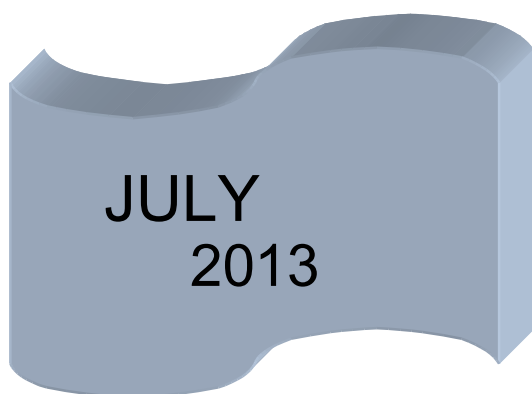


# Herefordshire Commissioning Prospectus

Funded opportunities to support  
Disabled Children, Young People  
and their Families.

## **A new approach to Commissioning**

- Service User, Parent and Carer shaped outcomes for short breaks and respite care.
- A focus on collaboration to identify safe, reliable, effective person centred opportunities for children and young people.
- Action learning approach to support development of future procurement opportunities



## CONTENTS

Section	Title	Page
	Foreword	3
<b>PART A: BACKGROUND</b>		4
	Introduction	4
1	Our priorities	5
2	What is a Short Break?	6
3	Children, Young People and Families	6
4	The Commissioning Process	6
5	Working with organisations to build social capital	7
6	Public Sector Equality Duty	7
	<ul style="list-style-type: none"> <li>• National</li> </ul>	7
	<ul style="list-style-type: none"> <li>• Herefordshire</li> </ul>	8
	<ul style="list-style-type: none"> <li>• Our equalities offer</li> </ul>	8
	<ul style="list-style-type: none"> <li>• Impact Assessment</li> </ul>	8
<b>PART B: EVIDENCE OF NEED</b>		9
7	Evidence of need	9
7.1	<ul style="list-style-type: none"> <li>• Current services and their provision</li> </ul>	9
7.2	<ul style="list-style-type: none"> <li>• Identified needs</li> </ul>	13
7.3	<ul style="list-style-type: none"> <li>• Future services: evidence of need</li> </ul>	17
<b>PART C: THE SERVICE SPECIFICATION</b>		18
8	Services required	18
8.1	<ul style="list-style-type: none"> <li>• The services we wish to commission</li> </ul>	18
8.2	<ul style="list-style-type: none"> <li>• Target group and access to services</li> </ul>	19
	<ul style="list-style-type: none"> <li>○ Children and young people with complex health and/or care needs</li> </ul>	19
	<ul style="list-style-type: none"> <li>○ Children and young people with significant health and/or care needs</li> </ul>	20
	<ul style="list-style-type: none"> <li>○ Children and young people with additional needs</li> </ul>	20
9	Outcomes	21
10	Performance and quality indicators	22
11	Budget Available and allocation	23
<b>PART D: THE TENDER PROCESS</b>		24
12	The tender process	24
12.1	Self-assessment for organisations	24
12.2	Value Added Tax	25
12.3	Public liability and Professional Indemnity Insurance	25
13	The Selection Questionnaire	26
13.1	Selection Questionnaire process	28
13.2	Tender Questionnaire process	29
14	Scoring and weighting criteria	30
	<ul style="list-style-type: none"> <li>• Social value</li> </ul>	30
	<ul style="list-style-type: none"> <li>• Scoring and appraisal criteria</li> </ul>	32
<b>PART E: CONTRACT AWARD AND FUNDING</b>		36
15	Contract awards and funding allocation	36
16	Managing the funding agreement	36
16.1	Funding agreements	36
16.2	<ul style="list-style-type: none"> <li>• Monitoring and review arrangements</li> </ul>	36
16.3	<ul style="list-style-type: none"> <li>• Payment arrangements</li> </ul>	37
16.4	<ul style="list-style-type: none"> <li>• Publicity requirements</li> </ul>	37
16.5	<ul style="list-style-type: none"> <li>• Suspension or repayment of the funding agreement</li> </ul>	37
17	Key Dates	38
18	Useful Contacts	38
19	TUPE	38
	Glossary	40

# Foreword

Welcome to the 2013 Commissioning Prospectus published by Herefordshire Council and Herefordshire Clinical Commissioning Group. Together we are taking forward a new approach to funding voluntary, community, private and independent organisations to deliver services and achieve better outcomes for disabled children and young people in Herefordshire.

The outcomes have been developed from our local joint commissioning plans and produced with the involvement of service users, carers and other stakeholders.

This is our first year of piloting the Commissioning Prospectus and we are seeking to invest £1.1 million per year for three years to support the delivery of services in our local communities. This investment is intended to achieve better outcomes for children, young people and families. We are sure you will agree that being able to set aside this investment is significant in these challenging economic times.

The procurement process will place equal importance on:

- quality,
- building social capital and
- delivering value for money.

We will evaluate this year's Commissioning Prospectus as part of our commitment to continuously improving the way we commission services.

# PART A: BACKGROUND

## INTRODUCTION

Herefordshire Council and Herefordshire Clinical Commissioning Group (CCG) are committed to working in partnership with the voluntary, community, private and independent sectors to support their growth and development. In exchange, we want local people to experience greater independence, choice and a sense of belonging. The Commissioning Prospectus presents a wide range of opportunities by awarding contracts that will deliver services and activities that make a real difference in the lives of local people.

This Prospectus allows organisations to plan ahead for new services or activities which are expected to commence on 6<sup>th</sup> January 2014. We want to cultivate a climate that encourages innovation and development. The Prospectus aims to balance fair and transparent competition with the benefits of working together to achieve greater outcomes. It is a process that is in step with the Modernising Commissioning Green Paper, seeking to increase the role of charities and social enterprises in public service delivery and the Social Value Bill which asks commissioners to consider environmental and social factors alongside price. The emphasis on social capital reflects the Localism Bill, focusing on greater community empowerment, choice and quality.

Part A provides the background to the tender. Section 1 of this Commissioning Prospectus describes our priorities and outcomes that will be delivered through this process. We give a definition of Short Breaks in section 2 linking our priorities for children, young people and families in section 3.

The Commissioning Process is detailed in Section 4 and how we want to deliver this through working with organisations to build social capital is explained in Section 5. We outline our Public Sector Equality Duties in Section 6.

Part B considers the evidence of need, described in Section 7.

Part C introduces the service specification. We describe the services we require in Section 8, share the outcomes, in Section 9, and describe how we manage performance and quality indicators in Section 10. Through this process we will be continuing to involve our parents and carers ensuring the services commissioned through the prospectus make a difference to the lives of our children and young people with disabilities and complex health needs. Section 11 describes the available budget and process we will use for allocating this.

Part D takes you through the Tender Process where we outline the way the tender will be undertaken. We explain what you need to consider, implications for Value Added Tax and insurances in Section 12 before introducing the Selection and Tender questionnaires process in section 13. Application will be accepted via the PROACTIS portal and we guide you through this, explaining our evaluation scoring and weighting criteria at Section 14.

In part E we cover contract awards and funding allocation. The management of the funding agreement is described in Sections 15 and 16 and the dates you will need to have to hand are given in Section 17. Section 18 provides you with some useful contacts that you might wish to utilise. As this prospectus has some potential implications for TUPE we describe this in Section 19.

The key outcomes that have driven the development of the Prospectus are:

- To ensure an approach to commissioning personalised support that will improve the lives of local people, focusing on outcomes;
- To further develop our partnership arrangements with our providers, working towards more sustainable and innovative models that demonstrate high-quality provision and excellent value for money; and
- To ensure choice and control for local people and link this to the social capital that exists in our diverse communities.

## 1. OUR PRIORITIES

The outcomes that will be delivered through the Prospectus will help meet Council and local Clinical Commissioning Group priorities. Part of Herefordshire Council's and Herefordshire Clinical Commissioning Group's promise is to support the most vulnerable people and encourage personal and community responsibility by working in partnership with service users and providers by making the best use of resources across the diverse communities in Herefordshire.

The following priorities will help deliver this promise:

- Improve user and carer choice and control about how their needs are met, promoting the universal offer, including signposting;
- Commission collaboratively to stimulate a diverse local market and ensure services are developed and improved in response to locally identified needs.

The Herefordshire Review of services for children and young people with disabilities and complex needs undertaken in 2010/11 identified the availability of short breaks and respite care as a significant support to children, young people and their families. A specific recommendation from the Review was to commission a continuum of short breaks provision and to pool resources across partner agencies to prevent overlap and support best value.

Under the Children and Young Person Act 2008, the Local Authority must offer short breaks as part of a preventative model. The responsibility of the Local Authority to provide short breaks for carers of disabled children came into effect on 1<sup>st</sup> April 2011 (Breaks for Carers of Disabled Children Regulations 2011). These regulations place a duty on Local Authorities to have regard to the needs of carers who:

- would be unable to continue to care for their disabled child without a short break or would be able to care more effectively if breaks are given,
- to look after other children in the family more effectively,
- to take part in training, education or leisure activities, or
- to carry out day to day tasks in running the household.

Our understanding of need is shaped by our local understanding of:

- The number of families with disabled children;
- The different types and levels of needs;
- The choices and preferences expressed by families.

We access this information from:

- Databases used by the local authority and health partners
- Monitoring information from service providers
- Needs assessments and case audits of children and families
- Regional and national research
- Consultation and feedback from parents/carers and children.

We use this knowledge to plan and commission services ensuring there is sufficient provision to meet demand and to make sure these services are located in the right geographical areas matched to needs.

The procurement process will result in the award of contracts for a short break and respite service for children and young people aged 0-19 years. The contract with each provider will be awarded for an initial three year term commencing on 6<sup>th</sup> January 2014 with the option, at the discretion of the contracting Commissioner, to extend each of the contracts for a further period of up to 2 years.

The Local Authority is broadening its personalisation offer to parents and carers of children with disabilities. In line with this, we will talk to parents, carers and providers in the 2<sup>nd</sup> year of the contract to encourage participation and support in developing personalisation within Herefordshire.

It is recognised that short breaks and respite care need to take into account transition into adulthood. The short breaks and respite care that are offered to young people (13+) would need to reflect the need to offer positive experiences that help young people to prepare for independent living, where possible, and which offer a seamless transition into adulthood.

## 2. WHAT IS A SHORT BREAK?

Consultations with local families gave rise to the following definitions of a Short Break.

- A wide range of opportunities, activities and support so children and families have choices.
- An activity which becomes an ordinary part of life for children and young people with disabilities and their families.
- Anything from a couple of hours to overnight stays.
- The opportunity to have fun and take part in enjoyable experiences that contribute to personal and social development.
- Support for day to day tasks at home.
- Learning new skills and becoming independent.
- Opportunities to develop new interests and take part in different activities.
- Opportunities for children and young people to have something to do – especially at weekends and during the school holidays. They can see their existing friends at the Short Break and make new friends.
- Enable parents and families to have a break from their caring responsibilities.
- Enables parents to support families, catch up with everyday activities as well as having more time with their other children, their friends and hobbies.
- Flexible, responsive to need and able to offer support at times of urgent need.

## 3. CHILDREN, YOUNG PEOPLE AND FAMILIES

The Children and Young People Partnership Forum, a multi-agency partnership of statutory and voluntary partners agreed priorities for action through the development of the 'Yes We Can Plan' with four key priorities. These are:

1. Helping families, parents and carers to help themselves, particularly in the early years of their children's lives.
2. Promoting health and wellbeing.
3. Achieving success in life, learning and future employment.
4. Protecting children from harm.

The outcomes that we want to achieve through the Commissioning Prospectus support these aspirations. We want children young people and families living with disability and complex needs to be able to live ordinary lives.

## 4. THE COMMISSIONING PROCESS

Commissioning is a process that identifies best value and delivery of positive outcomes that meets the needs of local people and communities. The diagram below, developed by the Institute of Public Care and others, helps to describe the Herefordshire commissioning cycle.

All stakeholders involved in commissioning have a role at every stage in the commissioning cycle. The Joint Strategic Needs Assessment, national strategies, local priorities, performance data and wider stakeholder feedback are used to develop a local picture of need. Our priorities to address identified need are described in our joint commissioning and plans.

**Review:** managing relationships, monitoring and reviewing performance and seeking further performance improvement.

**Do:** ensuring that services and interventions are delivered as planned in ways that effectively and efficiently deliver the established priorities.



**Analyse:** understanding the needs, available resources and potential capacity within the local community, through local markets and through specialist providers to deliver those needs.

**Plan:** identify the gaps between what is needed and what is available, establishing priorities and establishing strategies to address those gaps.



The Prospectus implements the 'Do' section of the commissioning cycle as it will commission providers to deliver services which fulfil our outcomes and objectives. It requires organisations to propose service models or activities that will address these outcomes and objectives in the most efficient and effective way, identifying how the particular project helps build social capital and meets local need.

The Commissioning Prospectus builds on the views of local people which have shaped our strategic plans and the recommendations from the Review of Services for Children and Young People with Disabilities and their Families (2010). Meeting the needs of our growing and diverse local population is of particular interest for local commissioners, and this is reflected in the commissioning objectives, and linked to national strategies and local plans.

The documents listed below have informed the commissioning outcomes:

- The National Service Framework (NSF) for Children, Young People and Maternity services: disabled children and those with complex health needs – standard 8
- The national 'Healthy Child' Strategy
- The national Green Paper on SEN and disability - Support and aspiration: a new approach to special educational needs and disability: a consultation (March 2011)
- 'Yes We Can' – the Herefordshire plan to support children, young people and families 2011-2015
- Understanding Herefordshire 2012: An integrated Needs Assessment
- The Herefordshire Review of Services for Children and Young People with Disabilities and Complex Needs 2010

## 5. WORKING WITH ORGANISATIONS TO BUILD SOCIAL CAPITAL

The Council and Herefordshire Clinical Commissioning Group want people in Herefordshire to benefit from the added social value brought to services through the building of social capital.

**Social capital is generally understood to be the connections among people and their social networks, a willingness to do things for each other and a sense of trust that comes from this.**

At a local level these connections give rise to a feeling of 'belonging' and wellbeing, sometimes developed through collective action in the form of community participation or voluntary action. This is often known as civil society and is distinct from the state and the private sector. The organisations that make up civil society provide both the structure and the opportunity for people to become more engaged and active in their communities. This results in bonds and networks being formed between diverse people and organisations which have a shared goal or interest.

Through the Prospectus, Herefordshire Council and Herefordshire Clinical Commissioning Group wish to ensure that Herefordshire has a thriving provider sector which can help people to help each other, and where there is a 'social return' on investment made. We want to commission organisations that can change people's lives for the better through the building of trust rooted in strong communities. This can be supported through making the best use of local:

- Knowledge and experience
- Community engagement
- Service user and/or carer-accountable structures, for example, user-led organisations
- Networks
- Volunteers
- Access points or bases.

## 6. PUBLIC SECTOR EQUALITY DUTY (PSED)

### National

Equality Impact Assessment is not only a valuable tool in shaping policies; it also contributes to wider achievement of the aims of the Public Sector Equality Duty (PSED). The Public Sector Equality Duty is not a new concept, but existing duties in respect of Race, Disability and Gender have been rationalised and extended to cover all of the Protected Characteristics of the 2010 Equality Act. As a result a single Equality Duty for the Public Sector now exists. This lists three aims:

- To eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010.
- To advance equality of opportunity between persons who share a relevant Protected Characteristic and persons who do not share it.

- To foster good relations between persons who share a relevant Protected Characteristic and persons who do not share it.

Public bodies are required to have “Due Regard” (which means consciously to consider) these aims in their day to day work – in shaping policy, in service delivery and in relation to its own employees. Completed Equality Impact Assessments include analysis, recommendations and actions which are essential in understanding and addressing inequality as required by the Public Sector Equality Duty.

### **Herefordshire**

The Council and Clinical Commissioning Group are mindful of the need to have “Due Regard” to the three aims of the Public Sector Equality Duty in the planning, commissioning and delivery of their services. The potential services which would be provided through the Commissioning Prospectus have been screened for their potential relevance for people who have more of the Protected Characteristics (defined in the Equality Act, 2010).

The Protected Groups most affected in this instance are Age, Disability and Gender.

Relevant findings and recommendations will be made available to and contribute to the decision-making process and decision-makers will have “Due Regard” to the aims of the Equality Duty.

### **Our Equalities Offer**

To support the development of equality and diversity, a workshop was provided in April 2013 for organisations who welcomed support in developing this aspect of their working.

### **Impact Assessment**

Each provider will be asked to provide an Impact Assessment six months before their contract is due to terminate.



# PART B: EVIDENCE OF NEED

## 7. EVIDENCE OF NEED

### 7.1 Current services and their provision

Current providers offer the following services, some of which is not funded directly through the short breaks budget. These services are in addition to overnight respite care service.

Activity	Age range	Location	Referral route	Times & availability
Youth Club	11-19 years	Hereford city based – County wide access	Self referral or Professional referral (e.g School, Health professional, Social Worker)	Thursdays term time 3.30 – 5.30pm
*Buddying	11-19 years	Hereford City based	Self-referral or professional referral e.g School, Health professional, Social Worker)	Individual times/days
Transitional Support (support to develop skills, confidence and opportunities to enter employment)	16-25 years	County wide access	Professional Referral only (e.g School, Health professional, Social Worker)	
Saturday Play Days	3-19 Years	Leominster and Ross on Wye	Self-referral or Professional referral (e.g School, Health professional, Social Worker)	
Easter & Summer 2013 Holiday Play schemes	3-19 years	Ross, Leominster & Hereford	Self-referral or Professional referral (e.g School, Health professional, Social Worker)	
*Buddying/Sessional Support	5-19 years	Ross on Wye & Leominster	Professional referral/self referral (e.g School, Health professional, Social Worker)	Individual times/days
Boxing/Keep fit sessions/courses boys & girls	6-19 years	Hereford, Leominster, Kington, Bromyard, South Herefordshire	Self-referral or Professional referral (e.g School, Health professional, Social Worker)	Varied programmes of days/times
*Sessional/buddying support Domiciliary Care	0-18 years	Countywide access	Professional referral only (e.g School, Health professional, Social Worker)	Individual times/days
Youth Club (one evening per week for 2 hours)	14-18 years	Hereford with Countywide access	Self referral or Professional referral (e.g School, Health professional, Social Worker)	Thursdays 6-8pm
Sessional & Domiciliary Care	3-16 years	Countywide access	Professional Referral only (e.g School, Health professional, Social Worker)	Times flexible
Mechanical Horse	5-25 years	Countywide access	Self-referral or Professional referral (e.g School, Health professional, Social Worker)	Times flexible
Summer water & sports activities	6-12 years	Countywide access: Hereford Leisure Pool Leominster Leisure Centre Bromyard Centre Ledbury Swimming Pool Ross swimming pool	Self Referral	Daily.
Youth Club (Tuesdays term time only)	4-19 years	Leominster based Countywide access	Self Referral	3.15 – 5pm

Children and young people who currently access the services have the following declared disabilities/needs, though many of those self-referring chose not to disclose their child/young person's disability so this information will only be partial:

<b>Autistic Syndrome Disorder</b>	<b>Attention Deficit Hyperactivity Disorder</b>
<b>Challenging behaviour</b>	<b>Epilepsy</b>
<b>Global delay</b>	<b>Profound Learning Difficulty</b>
<b>Asthma</b>	<b>Multisensory impairment</b>
<b>Anger issues</b>	<b>Downs syndrome</b>
<b>Moderate Learning Difficulties</b>	<b>Incontinence</b>
<b>Severe Reynaud's syndrome</b>	<b>Scoliosis</b>
<b>Fragile X syndrome</b>	<b>Musculoskeletal</b>
<b>Other physical</b>	<b>Juvenile idiopathic arthritis</b>
<b>Behavioural &amp; Emotional Difficulties</b>	<b>Physical Disability</b>
<b>Dyspraxia</b>	<b>Visual Impairment</b>
<b>Other health</b>	<b>Hearing Impairment</b>
<b>Specific Learning Difficulties</b>	<b>Asperger's Syndrome</b>
<b>Obesity</b>	<b>Anti-social behaviour</b>
<b>Speech Language &amp; Communication Needs</b>	<b>Technology dependent health need</b>

Services delivered to children with disabilities and complex needs through short breaks and respite care were mapped for the period April 2012 to December 2012.

This information provides an overview of the services.

The services were also mapped on a matrix (page 11) which considered:

- Where the children and young people who accessed the service lived;
- The frequency of the provision
- The age the activity was for/the age of the child/young person accessing the service
- The time of the activity

These aspects were mapped against the type of provision.

Numbers/totals at the bottom don't totally add up – this is due to the fact that some children and young people accessed a number of services while others only accessed one.

The table below gives the service overview.

<b>Type of short break</b>	<b>Number of children receiving services 2012- 13 (April - December)</b>	<b>Number of sessions accessed April – December</b>	<b>Hours being received 2012-13 (April - December)</b>	<b>Day or night</b>
Number of children accessing services	365			
Number of children accessing more than one service	166			
Overnights in residential units	38		2079 per month	Overnight
Daytime in residential units	44		2207.5 per month	Daytime
Overnights by contract carers/foster carers/care in child's own home. E.g. personal assistant for night care in child home or with consistent foster placement	Service A 1	15 sessions	180hrs	Overnights
	Service B = 1	15 sessions	180hrs	Daytime
	Service C = 2			
Individually supported short breaks/respite care (outreach workers, buddy etc.) e.g. Buddy or personal assistants for outings and supported activities in or out of the child's home	Buddying service D = 9		252 hours	
	Sessional service E = 18			
	Transitional service F = 22			
	Buddying service G = 9	114 session	342 hours	

	Service H = 1		X hours/sessions	
	Service I = 29		3780hrs	
	Service J = 11		54 hours	
	Service K = 19		2187 hours	
	Service L = 1		280 hours	
	Service M =3		320 hours	
School holiday programmes e.g. week or day provision during any of the school holidays, which may be in school or elsewhere.	Holiday play scheme N= 58	240 sessions	1080 hours	
Group-based Short breaks - specialist settings e.g. after school groups, playschemes or youth schemes specifically for disabled children	Service P = 6	119 sessions	238hrs	
	Service Q = 48	44 sessions	2112 hours	
	Service detailed above (taster sessions) = 71	426 sessions	426hrs	
	Youth Club = 54		1782 hours	
	Service R = 22		572 hours +	
	Saturday service = 39	150 sessions	675 hours	

MATRIX OF USAGE	Geography													Frequency of provision								Age					
	HR1	HR2	HR3	HR4	HR5	HR6	HR7	HR8	HR9	SY7	WR13	WR6	Total	Annually	As and when	Daily	Fortnightly	Monthly	School Holidays	Weekly	Weekly	Grand Total	0 to 5	6 to 13	14 to 19	Grand Total	
Type of provision 282	As and when	1											1		1							1			1	1	
	Holiday daytime	6	12		10	2	15		3	10			58						58			58	34		20	58	
	Holiday overnight						1						1	1								1	1			1	
	Morning & Evening Dom Care	2	1						1	3			7			7						7	5		1	7	
	Overnight Respite	7	8		5		4	3	1	3	1	2	34			1		2		31		34	19		15	34	
	Saturday	15	27	3	8	2	16		1	15			87							87		87	39		43	86	
	Taster sessions	4	43	1	9		5		1				63					71				71	24		35	59	
	Term time after school	21	28		15		9		5	5			85							86		86	24		61	85	
	Weekday Support	5	5		3	1	4	3		1			22							22		22			16	16	
	Weekday/weekend Respite care	5	7		5		2	4	2	2	1	2	30					1		29		30	14		15	30	
	Weekend Respite	5	8		4		2	3	1	3	1	4	31				4	26		1		31	12		19	31	
	Year round evening	2	3		4	1	4			1			15							15		15	2		13	15	
	Year round weekday/weekend	3	6		3		1		1				14							14		14	12		2	14	
	Year round weekday/weekend sessional support	8	15		5		5	1	6	5		1	46			1	6			38	1	46	22		24	46	
	(blank)	5	9		14		6			8	1	1	44										18		23	43	
TOTALS												538	1	1	9	10	100	58	323	1	503	226		288	526		

It can be seen that the most accessed/used services are those which occur frequently i.e. weekly or monthly (these are mainly the taster sessions) or those that occur in the holidays. Also there is little for children aged 0-5 to access.

## 7.2 Identified needs

It is recognised that the mapping exercise above only illustrates usage against current services. In order to understand whether this will meet future needs, commissioners have talked to parents and carers and considered the data available to them to inform commissioning intentions.

The services commissioned through the prospectus will:

- Meet the varying needs of the children and young people with disabilities and complex needs
- Cover the geographical spread within the county
- Meet the full age range
- Are offered at times which suit the needs of the parents/carers, children and young people

The February 2012 Department for Work and Pension figures show 1,430 Disability Living Allowance claimants aged 5-24 years living in Herefordshire.

The 2012 Spring School Census showed the following numbers of children with Special Educational Needs (SEN) within the SEN categories:

- 2,622 at School Action
- 1,885 at School Action Plus
- 559 with a Statement of Special Educational Needs

In 2008, the Thomas Coram Research Unit was commissioned to undertake a survey of all Directors of Children’s Services in England to collect and analyse data on the numbers and characteristics of disabled children and the services provided to them.

Following analysis of the published figures, Coram was able to put a lower and upper bound on the number of disabled children in each local authority, based upon the number of children with a Statement of Educational Needs (SEN) and in receipt of Disability Living Allowance (DLA). If the Coram calculation is applied to the data above, the lower bound would become 1,430 while the upper bound becomes 2,601. Coram concludes that the true figures for the number of children with disabilities would lie within these upper and lower bounds.

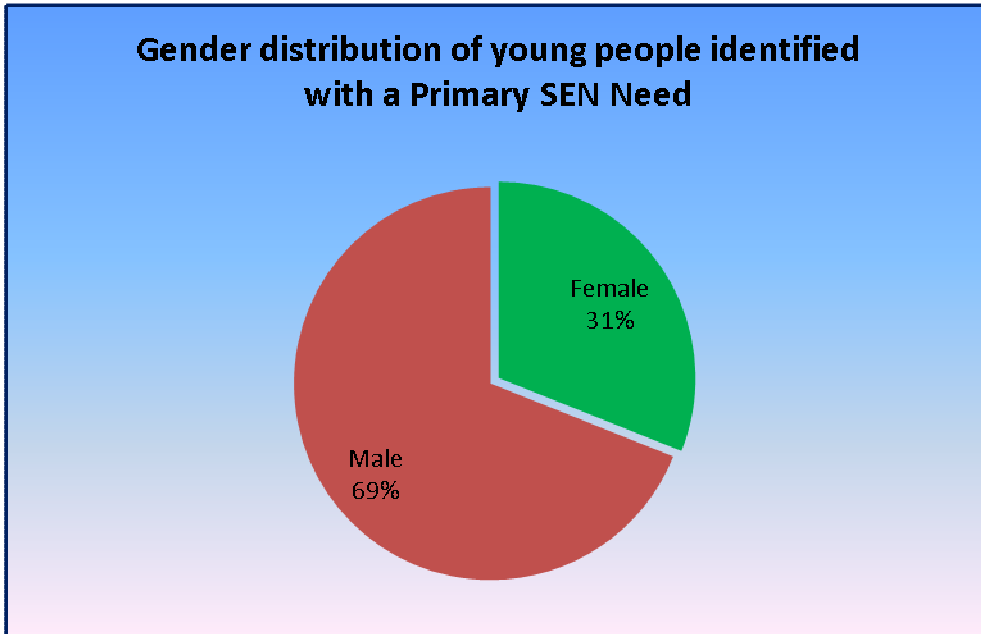
The breakdown of the 2012 Spring Census details for the 2,444 children recorded with Special Educational Needs provision at School Action Plus and a Statement of Special Educational Needs is given below.

	SEN type	Primary Need	%
BESD	Behaviour, Emotional and Social Difficulties	576	23.57
SPLD	Specific Learning Difficulty	518	21.19
SLCN	Speech, Language and Communication Needs	415	16.98
MLD	Moderate Learning Difficulty	292	11.95
OTH	Other Difficulty/Disability	182	7.45
SLD	Severe Learning Difficulty	177	7.24
ASD	Autistic Spectrum Disorder	107	4.38
PD	Physical Disability	66	2.70
HI	Hearing Impairment	60	2.45
PMLD	Profound and Multiple Learning Difficulty	30	1.23
VI	Visual Impairment	18	0.74
MSI	Multi-Sensory Impairment	3	0.12
	<b>All pupils with primary need</b>	<b>2,444</b>	

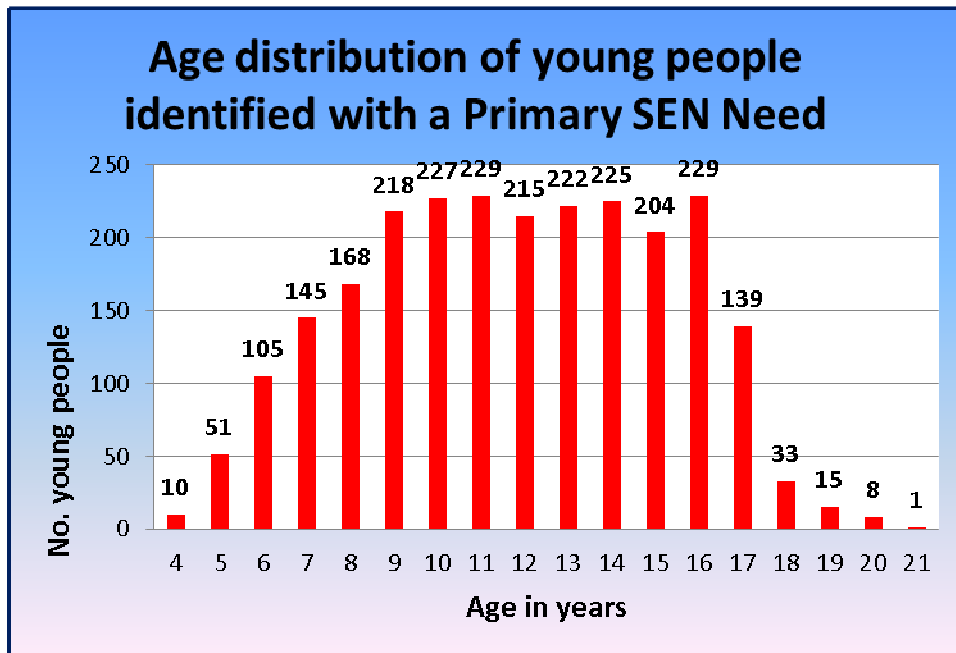
These figures reveal that Behavioural, Emotional and Social Difficulties (BESD) and Specific Learning Difficulty (SPLD) together account for over 20% of the total identified primary need. **It should be remembered that we are looking at special educational needs which cannot align directly with disability.** At the same time however, it is fair to say that around 1,000-1,500 of these children are likely to meet the threshold for short breaks and respite care services. Many of these children and young

people will access universal services but it is recognised that universal provision in Herefordshire needs developing.

Significantly both ASD and BESD show a large imbalance in the proportion of boys and girls identified with the need. In the case of ASD there are more than 6 boys identified for each girl and for BESD the ration is almost 3 to 1 in favour of boys. From the SEN statistics, it is noted that almost 70% were boys. *Information above taken from Children with Disabilities in Herefordshire: Understanding our cohort report, Improvement Team, September 2012.*



Most children and young people identified with a Primary SEN need are aged between 9 and 16. This is illustrated in the following chart.

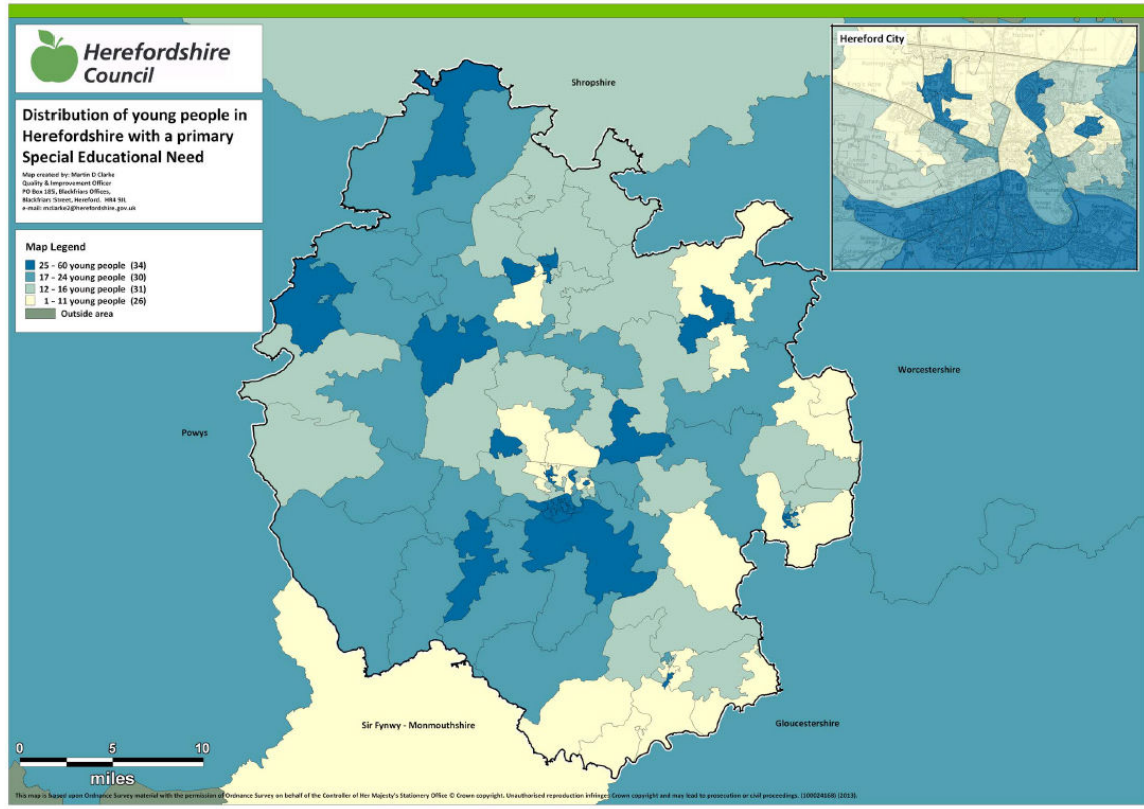


Appendix A provides an excel spreadsheet specifying additional information that will advise potential providers about the needs, age, gender and geography (using Lower Super Output Area) for our Short Break and Respite Care population.

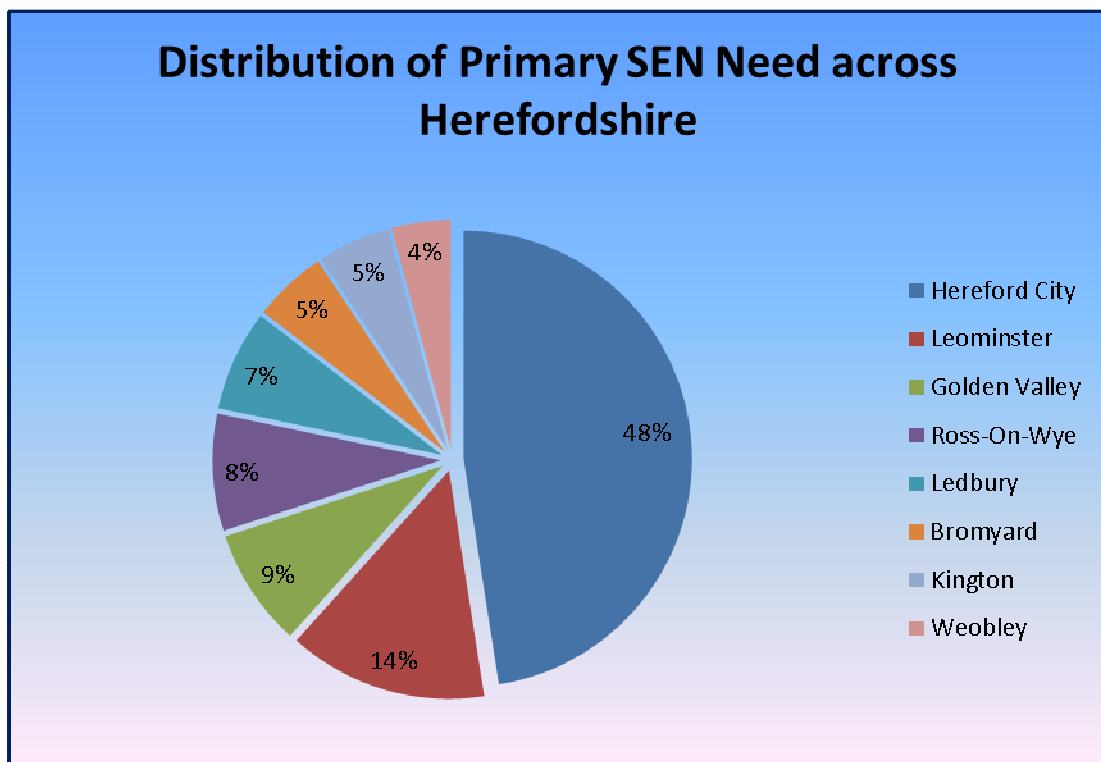
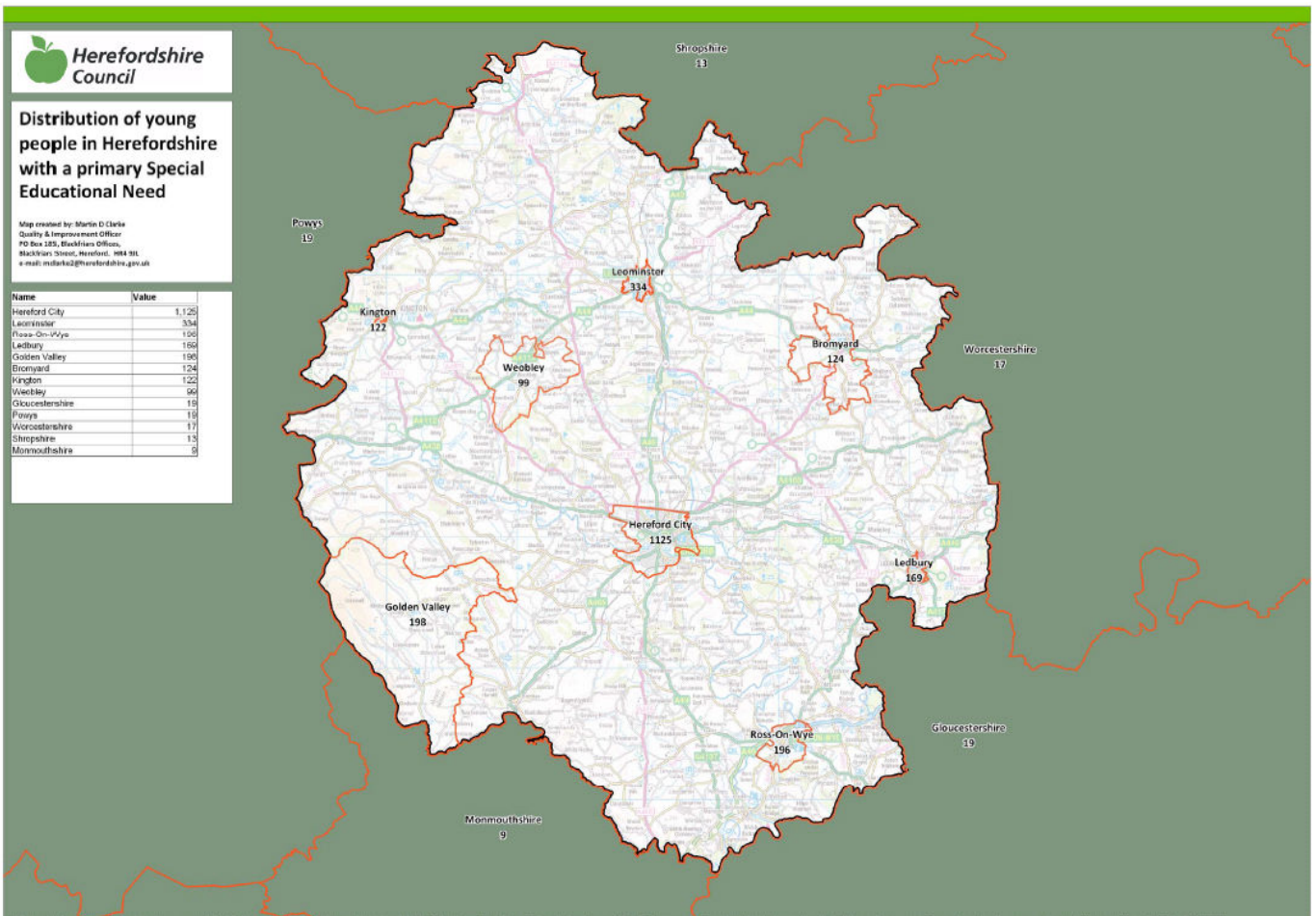
Lower Layer Super Output Areas (LSOA) are a method for collecting and publicising small area statistics. They were originally built using 2001 Census data and had a minimum size of 1,000 residents and 400

households, but average 1,500 residents. There are 116 LSOAs in Herefordshire. By comparing areas of similar size it is much easier to appreciate distribution across the total area because in effect you are comparing like with like in terms of population size.

The map below illustrates the distribution of children and young people in Herefordshire with a primary Special Educational Need. It shows the density of groups of children and young people across the county and can be used by providers to inform their service delivery venues. This map is downloadable as Appendix B.



Appendix C shows the children and young people by primary Special Educational Need but grouped according to market towns in Herefordshire. The map can be found on page 16 or is available to be downloaded.



The tables in the spreadsheet found in Appendix A also give information relating to rankings and the Index of Multiple Deprivation (See page 17 for description of the index).



Appendix A also provides information relating to the Index of Multiple Deprivation. The Index of Multiple Deprivation (IMD) has been calculated since the 1970s and the increasing availability of administrative data at local levels has driven developments in the definition and measurement of deprivation. The latest version of the index is the English Indices of Deprivation 2010. Deprivation covers a broad range of issues and refers to unmet needs caused by a lack of resources of all kinds, not just financial. The English Indices of Deprivation attempt to measure a broader concept of multiple deprivation, made up of several distinct dimensions, or domains, of deprivation.

For those LSOAs in Herefordshire showing the greatest numbers of young people with a Primary Special Educational Need (SEN), the corresponding rank (out of the 116 LSOA's in the county) is shown. Whether the area is in the top 10%, 20% or 25% of most deprived areas in the county is also shown alongside the rank.

Both the ranks and IMD figures are found to the right hand side of the first table showing the LSOAs.

### **7.3 Future services: evidence of need**

Identified gaps in provision within Herefordshire reflect national shortages for short breaks and respite care. These are:

1. For a diverse range of activities offered for all children and young people in referred and non-referred services;
2. Not enough 1:1 personal assistants, particularly personal assistants who are younger e.g. 20-30 and could relate to teenagers if the service is one for buddying;
3. For overnight short breaks or respite care with foster carers in the foster carer's home;
4. For 0-4 year olds during the day and at weekends;
5. For youth activities/groups which occur slightly later in the day rather than straight after school and for these to include school and non-school providers;
6. For activities for young people with challenging behaviour;
7. For universal setting activities which can be accessed by children/young people with a disability or complex need.

# PART C: THE SERVICE SPECIFICATION

## 8. SERVICES REQUIRED

### 8.1 The services we wish to commission

We want to commission short break and respite care services that meet the needs of children and young people with:

- Complex health and/or care needs
- Significant health and/or care needs
- Additional needs.

These services, which will meet the outcomes described in this service specification, may be delivered in various ways to those who meet the eligibility criteria. We require services which offer a mixture of:

- weekend/week day respite care
- overnight respite care
- clubs and activities
- youth groups which happen after straight after school and those which allow young people to go home and come out to them in a different venue
- domiciliary care (morning and evening)
- holiday daytime activities
- playschemes for the holidays
- holiday overnight activities
- Saturday clubs and events
- weekend activities and clubs
- year round weekday/weekend sessional support

Children, young people and their families want **regular** activities so weekly, fortnightly or monthly are very much needed as well as holiday activities and overnight respite. We are particularly keen to include providers who can offer all-year-round services.

Children and young people wish to have taster sessions available to all activities and we would expect to see how you intend to offer these included within your application.

Providers are expected to charge parents/carers a small/nominal charge or contribution for their activity and this amount must be included within the budget forecast within the application. Providers will also be expected to help equality of access to their provision that ensures no child, young person or family is disadvantaged due to inability to pay.

Our Short Breaks and Respite Care services need to meet our identified gaps:

1. For a diverse range of activities offered for all children and young people in referred and non-referred services;
2. Not enough 1:1 personal assistants, particularly personal assistants who are younger e.g. 20-30 and could relate to teenagers if the service is one for buddying;
3. For overnight short breaks or respite care with foster carers in the foster carer's home;
4. For 0-4 year olds during the day and at weekends;
5. For youth activities/groups which occur slightly later in the day rather than straight after school and for these to include school and non-school providers;
6. For activities for young people with challenging behaviour;
7. For universal setting activities which can be accessed by children/young people with a disability or complex need.

We also need to make sure that we have coverage across the county. Although families accept some travel implications may exist, we require a geographical spread, particularly focusing on:

- Leominster
- Hereford
- Ross-on-Wye

We would also like to include other significant population areas:

- Golden Valley
- Ledbury
- Bromyard
- Kington
- Weobley

Age appropriate activities need to be made available for all children and young people.

## 8.2 Target Group and access to services

Children and young people resident in Herefordshire or registered with a Herefordshire GP who have an identified disability, complex health need, profound or multiple learning difficulty/difficulties, or challenging behaviour associated with disability that significantly limits access to 'ordinary' activities.

Service providers must meet the needs of our children and young people who have:

- Complex health and/or care needs
- Significant health and/or care needs
- Additional needs

Access to services commissioned through this prospectus will be:

- following an assessment by a social worker;
  - through professional referral via the short breaks panel;
  - self-referred by the family,
- ... dependent upon which service is accessed.

Professional referrals include (but are not restricted to) referrals from:

- GP
- School
- Multi-agency group
- Paediatricians
- Portage
- CWD Social Care team
- Children's Centres
- School Nurse
- Youth Worker
- CAMHS

### Children and young people with complex health and/or care needs

For those children with **complex health and/or care needs** access to a short break or respite care will be via the short breaks panel, and usually include an assessment by a social worker from the Children with Disabilities team. There are approximately 50 to 70 children and young people who would meet the eligibility criteria.

By complex health and/or care needs, we refer to children and young people who:

- Have complex health and/or care needs
- Have a statement of Special Educational Needs (SEN)
- Are claiming higher level Disability Living Allowance (DLA) / Enhanced Personal Independence Payments for mobility and/or care;
- Attend a special school or receive specialist educational support at home.

They may also

- Be Looked After Children (LAC) with complex health needs
- Have social care involvement
- Have technological dependency
- Have very challenging behaviour
- Have mental health needs

### Children and young people with significant health and/or care needs

For those children with **significant health and/or care needs** access to a short break or respite care will be either through the short breaks panel or by self-referral. There are between 350 and 400 children and young people who would meet the eligibility criteria.

For those children and young people who would be **referred by professionals** to the panel, they will:

- Attend special school
- Have a statement or are home educated due to the complexity of their need
- Are claiming higher level Disability Living Allowance (DLA) / Enhanced Personal Independence Payment for mobility and/or care needs

They may also

- Be Looked After Children (LAC) with a disability
- Have challenging behaviour
- Have a multi-sensory impairment

Our parents, carers and universal services have described the need to have access to support for children and young people which will help families to manage times of increased stress. These needs are not significant enough to require a referral through to Social Care but would help families to manage the period of stress and either then step back into accessing universal short breaks or lower level significant need short breaks (please see the description below relating to these terms).

As such, we are looking for providers who would like to deliver services for children and young people with significant care needs who can offer:

- Ongoing provision to meet these needs and/or
- Time-fixed support of 6 weeks (which might be increased to 8 weeks in discussion with the commissioner)

This support is intended to help the families through periods of high stress. Access to these services would be using the short breaks referral form.

It is expected that, should support be required beyond this period, requests would then be submitted to the panel.

Those children and young people who will be **self-referred**, i.e. who can apply directly to the service provider for their service, may:

- Attend a mainstream school but have a statement of Special Educational Needs (SEN)
- Be home educated due to their disability
- Claim lower level Disability Living Allowance (DLA) / Standard Personal Independence Payment for mobility and/or care needs
- They may also have a multi-sensory/sensory impairment.

### Children and young people with additional needs

For those children with **additional needs** they will be able to self-refer to the service provider for their service.

In the future, these children and young people would be expected to be able to access universal services within the community, but it is acknowledged that these services require development. Herefordshire Council and Herefordshire Clinical Commissioning Group have committed funding to develop the universal market to stimulate its growth over a three year period.

Children and young people who have additional needs will:

- Be at School Action Plus for reasons that include Autistic Spectrum Disorder, Behavioural emotional or Social Needs, have Language and Communication Difficulties/disorder

They may also have a sensory impairment.

**These children and young people with additional needs will be restricted to three of our commissioned activities over the year to ensure everyone has an opportunity available to them. There is no restriction on these children and young people accessing other universal services.**

We will ensure our successful providers are fully informed regarding the process for this and how children and young people will access the services.

The referral route will be reviewed during the course of the contract period to reflect the development of personalisation. Providers will be kept fully informed of all changes that affect them as they occur.

## 9. OUTCOMES

The Commissioning Prospectus will enable children, young people and families living with disability and complex needs to live ordinary lives – this is the overarching outcome.

Our outcome-based commissioning means we have shifted the emphasis from the outputs a provider meets (i.e. numbers attending an activity, who these attendees are) to the outcomes these services will actually deliver. The outcomes in the prospectus were developed with our parents/carers, children and young people. We will still have to collect some outputs but our intention is to really focus on how the short breaks and respite care services help our children, young people and families living with disability and complex needs to live ordinary lives.

Outcomes may be demonstrated through quantitative and qualitative evidence. This would enable providers to show evidence of impact on their service users in different ways. Possible evidence could include confirmation that:

- Parent/carer’s capacity to cope with difficulties is enhanced
- The child or young person engages safely in a leisure activity of their choice
- The child or young person’s views are sought, heard and contribute to service design and decision making
- The child or young person’s social skills improve
- There is an improvement in the child or young person’s practical life skills

The Commissioning Lead will discuss with the providers how they will provide evidence of the impact of their service on the outcomes. We would like to be open to different ways to capture and demonstrate this and would, therefore, negotiate this with the providers. Proposals might include:

- Questionnaires completed by parents/carers/children/young people, as relevant.
- Video evidence – which would be shared with the contracts officer in an electronic format
- Scrap books with photos, written, visual evidence
- Case studies

Possible ways the services may be evaluated will be developed with parents, carers and the providers themselves.

<b>Outcome: Children, young people and families living with Disability and Complex Needs are able to live ordinary lives</b>		
The shared outcomes to be funded through the Commissioning Prospectus have been developed in collaboration with parents, carers and young people. Children, young people and families will benefit from:		
<ul style="list-style-type: none"> <li>• Increased engagement in universal services and services that build resilience</li> </ul>	<ul style="list-style-type: none"> <li>• Improved family resilience and family relationships</li> </ul>	<ul style="list-style-type: none"> <li>• Help early on when difficulties develop, preventing problems getting worse</li> </ul>
<ul style="list-style-type: none"> <li>• Improved emotional health, self-esteem and confidence</li> </ul>	<ul style="list-style-type: none"> <li>• Increased choice and involvement in social activities, supporting personal development</li> </ul>	<ul style="list-style-type: none"> <li>• Opportunities for parents and families to have a break from their caring responsibilities</li> </ul>
<ul style="list-style-type: none"> <li>• Developing dignity and respect</li> </ul>	<ul style="list-style-type: none"> <li>• Social development, peer group friendships and social interaction</li> </ul>	
<b>Outcome 1: Children with additional needs in Herefordshire will have fair access to a range of short breaks and respite care that meet their needs and those of their family</b>		
Objective 1.1 Children and young people are able to achieve personal goals and learn new skills		
Objective 1.2 Children and young people are able to spend time with their friends and make new ones		
Objective 1.3 Children and young people are able to take part in exciting activities that interest them		
Objective 1.4 Children and young people are supported to maximise their independence and feel more confident		

<b>Outcome 2: Parent carers are supported in their caring role</b>
Objective 2.1 Parent carers feel less stressed and have some time for themselves including time during the day/overnight when they can be 'off duty' and relaxed knowing their child is in safe hands
Objective 2.2 Parent carers are able to spend time with their other children or together as a family
Objective 2.3 Parent carers can get to know other families who share similar experiences
Objective 2.4 Parent carers are confident that their child is having fun, with skilled carers who understand his or her needs
<b>Outcome 3: Children and Young People with complex, multi-faceted health and care needs have access to a range of short breaks and respite care that meet their needs and those of their family</b>
Objective 3.1 Children and young people are able to achieve personal goals and learn new skills
Objective 3.2 Children and young people are able to spend time with their friends and make new ones
Objective 3.3 Children and young people are able to take part in exciting activities that interest them
Objective 3.4 Children and young people are supported to maximise their independence and feel more confident

Parents, carers and children have suggested that, to deliver the outcomes identified above, particular attention needs to be paid to the following;

1. Access to activities in universal settings; building skills of universal service providers.  
(Age appropriate and able to meet the needs of disabled children and young people e.g. safe care, moving and handling)
2. Support to access activities in universal settings e.g. through buddying, 1:1 support  
(Age appropriate and able to meet the needs of disabled children and young people e.g. safe care, moving and handling)
3. Positive experiences for children promoting friendships, social activity and interactions, developing supportive relationships.  
(Age appropriate and able to meet the needs of disabled children and young people e.g. safe care, moving and handling)
4. Be available on a planned basis and at times when children, young people and families need breaks; evenings, weekends, school holidays.
5. Provide a short term urgent or emergency care component.
6. Be able to meet all personal care needs.
7. Overnight breaks with care available in the child's own home and elsewhere.
8. Daytime and evening breaks with care available in child's own home and elsewhere.
9. Out of home and in own home care for children and young people with complex medical needs.
10. Support improved knowledge and skills in the voluntary and community sector to enable the sector to more effectively support disabled children and young people.

Requirements common to all Providers:

- Current registration with the relevant Regulatory Body, dependent on the opportunities being offered e.g. OFSTED, Care Quality Commission (CQC)
- Opportunities delivered across all geographical areas, maximising opportunities close to home wherever possible.
- Provision of information and advice to a wide range of children and young people to help them to become involved in other opportunities.
- Support the development of new groups and activities that meet local needs, user led opportunities, social enterprise, etc.
- Promote inclusion and involvement in other activities so children and young people have opportunities for new experiences.
- Develop resilience and sustainability plans, demonstrating intention by providers to seek ways to become less reliant on public funds and open to finding new ways to deliver services to address unmet need by using more creative and sustainable funding models.

## 10. PERFORMANCE AND QUALITY INDICATORS

Providers must meet quality indicators and quality standards in line with the vulnerable and complex nature of the client group involved. In particular providers will be required to show appropriate staffing structures robust best practice in safeguarding children and young people in working with service users subject to protection plans and on-going risk assessment. Providers will be expected to have knowledge and experience of working closely with children's specialist and universal services.

Services will be expected to report on the following outputs:

- Numbers of requests for service
- Numbers of children and young people offered a service
- Numbers of users receiving the service
- Number of requests that cannot be met
- The home post code of the child/young person
- The disability/need of the child/young person
- Any identified service gaps
- Complaints received and how these have been resolved
- Service user engagement and satisfaction rates
- The Quality Awards/Standards held by the provider or those which they are working towards
- Evidence of the organisation meeting safeguarding and equality standards and requirements
- Numbers of staff in post, including active volunteers – their levels of training/qualifications pertinent to the provision, any supervision they receive and information relating to how volunteers have been trained and are to be supported/supervised, etc.
- Total number of places available, places utilised and numbers on waiting lists.

Our main focus is to improve outcomes and we will be looking to obtain information which demonstrates the following:

- Improved confidence, self-esteem and emotional wellbeing in children and young people who are accessing the service
- Improved family relationships, with less parental/carer stress levels reported
- Increased take up of appropriate universal and community services
- Service user satisfaction levels for all service users and their families which demonstrates the involvement of the service users and their families/carers in the development of the service, in the impact of the service on the individual service users and their families and which gives ideas about improving the service.
- Tailored interventions which meet the age and stage of the child/young person within their family context

## **11. BUDGET AVAILABLE AND ALLOCATION**

The £1.1 million being used to fund short breaks and respite care has been allocated according to the needs of our children and young people in Herefordshire. We expect this to be in the region of:

- £600,000 which will be used to provide services for children and young people with complex health and/or care needs;
- £200,000 which will be used to provide services for referred children and young people with significant health and/or care needs;
- £200,000 which will be used to provide services for self-referred children and young people with significant health and/or care needs, and
- £100,000 which will be used to provide services for children and young people with additional needs.

These budget allocations are indicative and transferrable allowing flexibility in their allocation whilst retaining the relative amounts within each of the categories above. This means that, should an innovative project be suggested by a provider which includes aspects of provision against a number of the need areas described above, the money can be utilised flexibly to respond to this.

In addition to the £1.1 million mentioned above, there is a small capital budget available. We acknowledge that, for some organisations, they may need to purchase additional equipment to support the delivery of the proposed service. Should you feel that this might apply to you and your proposal, please email via Proactis using the 'View Messages' button and we will contact you to discuss this further.



# PART D: THE TENDER PROCESS

## 12. THE TENDER PROCESS

The tender will follow a single stage process.

Providers must be registered with the Herefordshire's supplier portal.

<https://tenders.herefordshire.gov.uk/>

The application must indicate whether the bidder organisation is applying for less than a total of £15,000 over 3 years or above it.

Providers will be asked to bid to provide services within the stated lots. These lots relate to the needs of the children and young people in Herefordshire who would be eligible to access short break and respite care services. The information obtained will enable the commissioner to identify gaps in service against the needs of our children and young people.

As we would be interested in projects that offer innovative solutions to our needs, we have included a Lot which also encourages this – see Lot 5 below.

Lot number	Description
<b>Lot 1</b>	<b>Services for children and young people with complex health and/or care needs</b>
Lot 1.1	Complex health needs
Lot 1.2	Complex care needs
<b>Lot 2</b>	<b>Services for referred children and young people with significant health and/or care needs</b>
Lot 2.1	Significant health needs
Lot 2.2	Significant care needs
<b>Lot 3</b>	<b>Services for self-referred children and young people with significant health and/or care needs</b>
Lot 3.1	Significant health needs
Lot 3.2	Significant care needs
<b>Lot 4</b>	<b>Services for children and young people with additional needs</b>
Lot 4.1	Additional needs (provision of services)
Lot 4.2	Additional needs (development of universal services)
<b>Lot 5</b>	<b>Innovative projects which do not fit the Lots above</b>
Lot 5	Projects which might meet the needs of any or all of the needs of the children and young people but which do not easily fit into the lot descriptions above.

We will consider each of the lots against the type of provision we need within the county. This is detailed on page 28.

### 12.1 Self-Assessment for organisations

Before you begin to complete the application, please read the simple self-assessment questions below to assess your organisation's suitability to apply for funding through the Commissioning Prospectus.

You must have a legal constitution, a management committee, and the required policies, in place by 5<sup>th</sup> January 2014 if you are awarded investment.

Application process	YES	NO
An approved constitution or Memorandum and Articles of Association		
A formally appointed Management Committee or Board of Directors which meets regularly		
Registration with appropriate regulatory body (if applicable)		
In line with any applicable regulations, a recent positive inspection report		



Approved policies and procedures relating to:	YES	NO
Equal Opportunities policy		
Health and Safety		
Child Protection and safeguarding (compliant with Herefordshire Safeguarding Children Board guidelines)		
Complaints procedure		
Quality Assurance		
Confidentiality and data protection		
Whistle blowing		
Risk assessments		
Lone working policy		
Training/induction records		
Supervision records		
Looked after children issues		
Advice and information to parents regarding educational needs		
Details of CRB checks		
Physical intervention		
Administration of medication		
Safer recruitment		
Can your organisation provide the following financial evidence?	YES	NO
Full audited accounts (or, if exempt from audit, signed by your accountant) for the last two years, including your income and expenditure sheet and balance sheet, or a business case.*		
Details of your organisation's bank accounts and all signatories (name of account, account number, sort code, name of bank and address).		

\*NOTE: If you have been trading for less than 2 years, please send your most recent audited accounts and your latest income, expenditure and balance sheet, or a business case.

If you have ticked 'No' to any of these self-assessment questions or if you are unsure, please contact the Procurement Team via the PROACTIS 'View Messages' Tab, or you can contact HVOSS who are able to offer advice and support to Third Sector organisations. See below for contact details.

The views of the parents and carers who shaped the outcomes within the Commissioning Prospectus are outlined in Appendix D.

## 12.2 Value Added Tax

We assume the applying organisation can recover VAT suffered on its cost inputs and that the costs included within the application for funding are shown net of VAT. IF the applying organisation does not expect to be able to recover some, or all, of the VAT involved then these specific costs need to be shown inclusive of VAT in the application. Herefordshire Council and Herefordshire Clinical Commissioning Group will then work with the applicant or explore a tax efficient model acceptable to Her Majesty's Revenue and Customs (HMRC). This may include the organisations acting as an agent of the Council in procuring goods and services to be used in the provision of the service.

## 12.3 Public Liability and Professional Indemnity Insurance

All funding agreements will require £10 million Public Liability Insurance.

Herefordshire Council will consider Professional Indemnity Insurance on a case by case basis and this will be discussed with you prior to the contract award stage. Bidders must submit documentary evidence of insurance indemnity before contract award.

If you have any questions, please ask the Procurement Team via the PROACTIS 'View Messages' tab.

### 13. THE SELECTION QUESTIONNAIRE

The Selection Questionnaire will enable the commissioner to assess applications in accordance with its minimum requirements. Only those providers who meet or exceed those minimum requirements will proceed further.

The Selection Questionnaire evaluation criteria and process is outlined here. Potential bidders should note that the commissioner reserves the right to vary the selection procedure to support continued competition, and adhere to subsequent technical or legal guidance, or for other reasons at its sole discretion.

The Selection Questionnaire evaluation has three stages:

1. Compliance review
2. Initial evaluation
3. Detailed evaluation

#### 1. Compliance review

The information given in the Selection Questionnaire by each potential provider will be checked for completeness and compliance with the requirements of the tender before responses are evaluated. The compliance review will check that submissions:

- Answer all questions (or explain satisfactorily if considered not applicable);
- Are made in the format, medium and quantity requested; and
- Have been delivered with a signed declaration.

Where, in the opinion of the commissioner, a response is non-compliant, the potential provider may be excluded from further consideration. Failure to provide a satisfactory response (or any response) to any element of the Selection Questionnaire may result in the commissioner not proceeding further with that potential provider.

**Please note that submitting an application form does not guarantee a contract. The commissioner reserves the right to award in part or not at all.**

#### 2. Initial Evaluation

At initial evaluation, unsatisfactory answers in the following areas may result in a failure to pre-qualify and be short-listed:

- Previous failure to complete a significant contract (if one held) and/or previous or ongoing damages claims;
- Ongoing liabilities which threaten the potential provider's solvency;
- Unresolved conflicts of interest;
- Failure to provide references from **TWO** professional referees (see notes below);
- Failure to include an appropriate statement of health and safety policy or have in place adequate arrangements to have a health and safety policy in place by contract start;
- Eligibility to bid (under Regulation 23 of the Public Procurement Regulations).

#### **Notes:**

Potential providers should note when completing sections where a pass/fail criteria is applied, you **MUST** include a response for each question or an explanation as to why this information has not been supplied. Failure to comply will result in a fail.

Where the Care Quality Commissioner (CQC) requires a service provider to be registered to provide the services subject to this procurement, it **is the responsibility of the potential provider** to ensure they check with the Care Quality Commission whether or not they need to be registered (CQC registration) and submit appropriate documentary evidence of CQC registration to the Commissioner.

Similarly, where the service is liable for OFSTED inspection, it **is the responsibility of the potential provider** to ensure they check with OFSTED whether or not they need to be registered. Bidders must submit appropriate documentary evidence of OFSTED inspection to the Commissioner.

References will not be scored but will be used by the commissioner to satisfy themselves that the applicant has provide satisfactory and safe past performance.

### 3. Detailed Evaluation

In undertaking the Selection Questionnaire process potential providers shall be evaluated against the criteria and weightings set out in the table below.

All potential providers' applications meeting the evaluation selection criteria (detailed in Section 14) will have their tender questionnaire evaluated.

Selection Questionnaire	Section Description	Evaluation Methodology
<b>SECTION A</b>	<b>Details of the provider</b>	Pass/Fail
1	Lots to be delivered	Pass/Fail
2	Name and address of organisation	Pass/Fail
3	Company or charities registration number	Pass/Fail
4	VAT details	Pass/Fail
5	Consortium details	Pass/Fail
6	Professional referees	Pass/Fail
7	Data Protection Act registration	Pass/Fail
8	Formal investigations	Pass/Fail
9	Failure to complete a significant contract	Pass/Fail
10	Previous/ongoing damages claims	Pass/Fail
11	Ongoing liabilities which threaten providers' solvency	Pass/Fail
12	Unresolved conflicts of interest	Pass/Fail
13	Health and safety policy	Pass/Fail
14	Safeguarding policy	Pass/Fail
15	Staffing procedures	Pass/Fail
<b>SECTION B</b>	<b>Project/s or services offered</b>	Pass/Fail
16	Project Overview Description for Marketing	Pass/Fail
17	Geographical area of delivery	Pass/Fail
18	Outcomes that will be met through delivery of the service	Pass/Fail
19	Age group the service is aimed at	Pass/Fail
20	Value of funding your project over 3 years	Pass/Fail
21	Project Summary (detailed overview)	Pass/Fail
<b>SECTION C</b>	<b>Financial information</b>	Pass/Fail
22	Cash flow details	Pass/Fail
23	Company accounts	Pass/Fail
<b>SECTION D</b>	<b>Insurance compliance</b>	Pass/Fail
24	Insurance details	Pass/Fail

Where sections are evaluated pass/fail, each question or group of questions within that section will be assessed as pass/fail. All pass/fail sections must be passed. If any questions in the pass/fail sections are failed then this will lead to failure of the overall Selection Questionnaire application.

Potential providers must complete all parts of the Selection Questionnaire and supply any additional clarification or supporting information as required.

The commissioner reserves the right to require potential providers to clarify their Selection Questionnaire submissions in writing. Any such request will be via Proactis to your nominated representative. Should the bidder organisation consider the question is not applicable or unable to be answered, this should be clearly stated and an explanation must be provided. The explanation will be taken into account in assessing the question.

No response should be left blank. Where applicable, use the terms 'not known', 'not available' or 'not applicable' but please tell us why this is so.

In completing the Selection Questionnaire submission, potential providers should not assume that the commissioner has any prior knowledge of the provider, its services, practice, reputation or involvement in

the delivery of existing services or projects. In evaluating the Selection Questionnaire, the commissioner will only consider the information provided in response to the questions asked.

Following evaluation of responses to the Selection Questionnaire, potential providers that have met the Selection Questionnaire criteria above will be deemed to pre-qualify for the procurement and the .

### 13.1 Selection Questionnaire process

The commissioner shall evaluate all applications using the process detailed above, to identify proposals of the highest standard. Parents and carers are involved in the evaluation of the applications with other relevant experts.

We will also be focusing at this stage on a number of points. We will consider whether we have coverage against the lots within the tender. We will consider how well we are able to meet outcomes 1 and 3 within the information we have received and how well we are able to meet the needs of our children and young people. To do this we will consider:

- What your project is offering
- Where your service is to be delivered
- Who your service is aimed at
- When you will be offering your service and the frequency of it
- The age group you are proposing to deliver to
- The cost of your service

### 13.2 Tender Questionnaire process

Those providers who successfully meet the criteria within the Selection Questionnaire will have their Tender Questionnaire evaluated. At this point additional information will be released to you that you will need to complete and upload to the Proactis portal.

**The deadline for upload to the PROACTIS portal is 5.00pm on 16<sup>th</sup> September, 2013.**

### The Evaluation Process

The aim of the evaluation process is to determine whether your organisation is suitable and able to offer services for the children and young people with disabilities in Herefordshire. The methodology we will use to do this is designed to provide a structured and auditable approach to the evaluation of the responses we receive.

The evaluation team will consist of Herefordshire Local Authority and Herefordshire Clinical Commissioning Group officers/managers and includes parental and voluntary sector representation.

To find out more about your organisation and the service/s you are offering us, we need you to give us additional information relating to these. To do this we ask you some unscored information-gathering questions that tell us more about what you are proposing. We also ask you questions which are scored. For these questions we need to determine whether your service meets the requirements detailed within the prospectus. The questions are described in section 14.

We will then assess the effectiveness of your application to deliver the outcomes and will score how well it delivers the three criteria of:

- Quality
- Social capital and
- Value for money.

We also need to know whether we are able to have sufficient variety of services that meet our needs. We will use the annotated lot detail below to identify whether we have sufficient spread and range of services against the needs of our children and young people. We will then, for each need category, consider the services against the age range and geography offered ensuring we have coverage.

Level of need	Lot number	Subcategory	What services we would like to have
Complex health needs	Lot 1.1	(a)	Overnight respite care (*)
		(b)	Overnight respite care with a foster care family (*)

		(c)	Overnight respite care within the home (*)
		(d)	Regular weekend/weekday respite care (*)
		(e)	Domiciliary care (*)
		(f)	Buddying and sessional support (**)
		(g)	Clubs and activities during the week after school (**)
		(h)	Youth clubs straight after school (**)
		(i)	Youth clubs later in the evening (**)
		(j)	Weekend clubs and events all year round (**)
		(k)	Holiday day time activities (**)
		(l)	Playschemes during the holidays (**)
Complex health needs	Lot 1.2	(a)	Overnight respite care (*)
		(b)	Overnight respite care with a foster care family (*)
		(c)	Overnight respite care within the home (*)
		(d)	Regular weekend/weekday respite care (*)
		(e)	Domiciliary care (*)
		(f)	Buddying and sessional support (**)
		(g)	Clubs and activities during the week after school (**)
		(h)	Youth clubs straight after school (**)
		(i)	Youth clubs later in the evening (**)
		(j)	Weekend clubs and events all year round (**)
		(k)	Holiday day time activities (**)
		(l)	Playschemes during the holidays (**)
Significant health needs (referred to panel)	Lot 2.1	(a)	Overnight respite care (*)
		(b)	Overnight respite care with a foster care family (*)
		(c)	Overnight respite care within the home (*)
		(d)	Regular weekend/weekday respite care (*)
		(e)	Domiciliary care (*)
		(f)	Buddying and sessional support (**)
		(g)	Clubs and activities during the week after school (**)
		(h)	Youth clubs straight after school (**)
		(i)	Youth clubs later in the evening (**)
		(j)	Weekend clubs and events all year round (**)
		(k)	Holiday day time activities (**)
		(l)	Playschemes during the holidays (**)
Significant Care needs (referred to panel)	Lot 2.2	(a)	Overnight respite care (*)
		(b)	Overnight respite care with a foster care family (*)
		(c)	Overnight respite care within the home (*)
		(d)	Regular weekend/weekday respite care (*)
		(e)	Domiciliary care (*)
		(f)	Buddying and sessional support (*)
		(g)	Clubs and activities during the week after school (**)
		(h)	Youth clubs straight after school (**)
		(i)	Youth clubs later in the evening (**)
		(j)	Weekend clubs and events all year round (**)
		(k)	Holiday day time activities (**)
		(l)	Playschemes during the holidays (**)
Significant health needs (self-referred)	Lot 3.1	(a)	Clubs and activities during the week after school (*)
		(b)	Youth clubs straight after school (*)
		(c)	Youth clubs later in the evening (*)
		(d)	Weekend clubs and events all year round (*)
		(e)	Holiday day time activities (*)
		(f)	Playschemes during the holidays (*)
Significant care needs (self-referred)	Lot 3.2	(a)	Clubs and activities during the week after school (*)
		(b)	Youth clubs straight after school (*)
		(c)	Youth clubs later in the evening (*)
		(d)	Weekend clubs and events all year round (*)
		(e)	Holiday day time activities (*)
		(f)	Playschemes during the holidays (*)
Additional needs (provision of services)	Lot 4.1		Services/projects/proposals for children with additional needs within Herefordshire
Additional needs (development of universal services)	Lot 4.2		Services/projects/proposals which develop universal provision within the county
Innovative projects which do not fit the Lots above	Lot 5		Projects which might meet the needs of any or all of the needs of the children and young people but which do not easily fit into the lot descriptions above.

(\*) Lots with this symbol next to them will be given first commissioning priority

(\*\*) Lots with this symbol next to them will be given second commissioning priority

As this organisation of potential resources against the needs will prove complex, the commissioner reserves the right to reallocate funding to ensure the commissioning priorities are met.

#### 14. SCORING AND WEIGHTING CRITERIA

The scored questions relating to quality, social capital and Value for money are to be scored on a 0-5 scale using the following descriptors to aid assessment.

Mark	Definition	Description
0	Inadequate	The response to the question is significantly deficient or no response provided. The level of detail does not sufficiently enable the evaluators to assess the service offered adequately. The supporting evidence does not provide useful additional or explanatory information relating to the question asked.
1	Limited	Limited aspects of the requirement/s can be met or the response only partially addresses the question. The level of detail is clear in some aspects yet omits other detail required within the question. The supporting evidence is useful but does not add the level of detail which would enable new information to be provided.
3	Acceptable	An acceptable response in terms of the level of detail and relevance. The level of detail is clear. The supporting evidence clearly adds depth to the information within the response enabling assessors to understand the impact of the described service.
5	Superior	A very comprehensive response, or a response likely to indicate an increase in quality. The detail in the answer adds depth, provides insight and enables assessors to understand the service offered clearly. The supporting evidence adds additional information which quantifies or qualifies the impact of the described service.

The assessment includes pass/fail criteria and pass/fail/refer criteria. Even if the evaluation score is not based on a technical evaluation, a decision must be made that the service as described by you in your application is:

- feasible, deliverable and robust,
- that it is based on reliable assumptions,
- that it meets all minimum technical/health and safety/safeguarding/regulatory/service specific requirements and
- that the costs and financial structure are consistent with what is proposed.

The 'refer' criteria is included with regard to the financial/cost section of the evaluation process. Should the information you have provided be in a form that the evaluators are not familiar with or they would require additional information from you to make an informed decision, they can refer their comments to the commissioner who can then seek additional clarification from you or from an internal Local Authority/Clinical Commissioning Group specialist.

#### Social Value

Along with the scored part of the tender, Herefordshire Council and Herefordshire Clinical Commissioning Group expect providers to be able to demonstrate their social value and impact within their service. To aid this process, we require providers to use the Evaluate! Tool within their applications producing a document relating to their service area. The Evaluate! guide can be found through this link:

<http://www.bulmerfoundation.org.uk/projects/evaluate>

Evaluate! is the model that Herefordshire Council is piloting to identify the impact of an existing service or to predict the outcomes for a new service. It has sections and cards for:

- Planning the evaluation
- Data gathering

- Data processing
- Identifying project impacts
- Monetising project impacts
- Reporting

**We would expect all aspects of the tool to be used in the application process except the monetising section.**

The Evaluate! documents produced by bidding organisations will be valued but not assessed as Herefordshire Council and Clinical Commissioning Group will need to gather proxy values for and with providers. This process of understanding which proxy values to share with providers will take place with providers and parents.

From year 2 onwards, we will work with providers, parents and carers to identify the proxy value areas we would be looking to put financial value around. We will then support providers to ensure they are able to use these within their overall evaluation process. The proxy value areas will begin to be scoped out with providers, parents and carers from Autumn 2013 onwards.

This will enable us to consider all aspects of the Evaluate! tool which, once these proxy values are identified, will be used as part of the monitoring process.



## Scoring And Appraisal Criteria

The application questions shown below outlines the themes, appraisal criteria and weightings. Your application will be scored by the panel according to how well your answers demonstrate they meet the appraisal criteria. Your responses to these questions should be submitted via Proactis.

Evaluation Aspect		Mandatory	Compliance	Weighting	Max Score
<b>A: Your organisation and project – unscored questions</b>					
1	Your service/project	YES	NO	Unweighted	NONE
2	Questions for providers of sessional projects <ul style="list-style-type: none"> <li>If relevant, what day/s of the week will your project run?</li> <li>If relevant, what is the frequency of your activity?</li> <li>How many children/young people can your service provide for?</li> <li>How long would each session be?</li> <li>How many children/young people would attend each regular session?</li> <li>For this project, what is your expected adult/child ratio?</li> </ul>	YES	NO	Unweighted	NONE
3	Questions for providers of playschemes <ul style="list-style-type: none"> <li>If a playscheme, what weekend/days are proposed?</li> <li>Which holiday are you offering your playscheme for? (Christmas, Easter, Summer)</li> <li>How many children can your playscheme provide services for?</li> <li>For this playscheme, what is your expected adult/child ratio?</li> </ul>	YES	NO	Unweighted	NONE
4	Questions for those offering buddying services <ul style="list-style-type: none"> <li>If your proposal is offering buddying activities, will the child/young person be supported individually or within a group?</li> </ul>	YES	NO	Unweighted	NONE
5	Marketing and publicity <ul style="list-style-type: none"> <li>How do you propose to market your project?</li> </ul>	YES	NO	Unweighted	NONE
6	Minimum purchase of your project <ul style="list-style-type: none"> <li>Is there a minimum package we would need to purchase from your service?</li> <li>If yes, please give details.</li> </ul>	YES	NO	Unweighted	NONE
<b>B: Your organisation and project - scored questions</b>					
7	Questions for services which require turn taking <ul style="list-style-type: none"> <li>If your proposal requires children/young people to wait in turn for your activity, please describe how this will be managed detailing how the children/young people will be usefully and safely occupied during the waiting period.</li> <li>What would the average waiting time be for the activity?</li> </ul>	YES	NO	Unweighted	Pass/Fail
8	Questions for providers of universal services <ul style="list-style-type: none"> <li>If your proposal is offered to both children with disabilities and those without, please provide assurance that the monies received through the commissioning prospectus would only be used to support children with disabilities who access your service.</li> <li>If you are applying to provide services for children or young people with additional needs, please explain how, after the three years of funding finishes, you will have moved to a sustainable financial model.</li> </ul> <b>Max 150 words.</b>	YES	YES 150 words	Unweighted	Pass/Fail
9	Administering medication	YES	NO	Unweighted	Pass/Fail



Evaluation Aspect		Mandatory	Compliance	Weighting	Max Score	
	<ul style="list-style-type: none"> <li>If, in the delivery of your project, you need to:               <ul style="list-style-type: none"> <li>Administer medication to a child/young person,</li> <li>Provide specific treatment or</li> <li>Identify a change in condition,</li> </ul> </li> </ul> ... how will you assure us that this is managed competently, appropriately and to the right standards?					
10	Challenging behaviour <ul style="list-style-type: none"> <li>Please describe how you will manage behaviour changes or mood swings relating to challenging behaviour that might result in harm to the child/young person experiencing the behaviour change or others.</li> </ul>	YES	NO	Unweighted	Pass/Fail	
11	Staff training and service delivery <ul style="list-style-type: none"> <li>How do you ensure you can meet the individual person-centred needs of those attending your project?</li> <li>How do you ensure your staff are fully trained and/or qualified to meet the needs of those attending your projects?</li> </ul>	YES	NO	Unweighted	Pass/Fail	
12	Regulated provision <ul style="list-style-type: none"> <li>Does your proposal include providing personal care?</li> <li>Are you (or do you intend to be by the start of the contract) CQC/OFSTED regulated?</li> <li>Are you offering a regulated service? If yes, which:               <ul style="list-style-type: none"> <li>CQC</li> <li>OFSTED</li> <li>Other</li> </ul> </li> </ul> <i>If you are unsure, please contact CQC or OFSTED directly via their websites for advice.</i>	YES	NO	Unweighted	Pass/Fail	
13	Parental contributions <ul style="list-style-type: none"> <li>How have you calculated parental contributions?</li> <li>How do you ensure a family is not disadvantaged by an inability to pay their contribution?</li> </ul>	YES	NO	Unweighted	Pass/Fail	
<b>C: Quality of your project</b>					<b>34%</b>	
C1	Project summary	Provide a summary of your proposed project telling us what the children/young people will be involve in if they participate in your activity.	YES	NO	Unweighted	Pass/fail
C2	Proposed activity	Describe your proposed activity making reference to the points below. Each point is weighted.	YES	YES 900 words overall for the question	Weighted	22% for the question overall
		<ul style="list-style-type: none"> <li>How will your proposal meet the Outcome/s you have selected?</li> </ul>	YES	YES	Weighted	6%
		<ul style="list-style-type: none"> <li>How and when will you deliver the activities, what resources will you use to do this and how will you reach the key groups identified in the 2013 Prospectus for the outcome?</li> </ul>	YES	YES	Weighted	4%
		<ul style="list-style-type: none"> <li>How will you ensure that services can be accessed by people from diverse groups?</li> </ul>	YES	YES	Weighted	4%
		<ul style="list-style-type: none"> <li>The activities, outputs and timeframes are realistic and are likely to provide client/carer satisfaction.</li> </ul>	YES	YES	Weighted	4%

Evaluation Aspect			Mandatory	Compliance	Weighting	Max Score
		<ul style="list-style-type: none"> <li>The proposed resources are sufficient to deliver the outcome and the organisation is likely to be able to manage the project.</li> </ul>	YES	YES	Weighted	4%
C3	Quality and evaluation	How will you know you have been successful? Make sure you make reference to each of the weighted points below.	YES	YES 600 words overall for the question	Weighted	12% for the question overall
		<ul style="list-style-type: none"> <li>A clear plan to evaluate effectiveness at an individual and service-wide level, with involvement and feedback from beneficiaries and referrers to your activity/service.</li> </ul>	YES	YES	Weighted	6%
		<ul style="list-style-type: none"> <li>What remedial action you will take to address client/carer dissatisfaction or under-performance against specified targets.</li> </ul>	YES	YES	Weighted	6%
<b>D: Social Capital</b>						<b>33%</b>
D1	Social capital	<p>How will your proposal contribute to developing social capital in Herefordshire? In what way will your proposal add value and benefit to local people and/or the community? <i>Consider the following unweighted points in your response. Is there evidence that use of the following local social capital elements would add value to the project:</i></p> <ul style="list-style-type: none"> <li>Knowledge and experience</li> <li>Community engagement structures</li> <li>Service user/carer accountable structures, for example, user-led organisations</li> <li>Networks</li> <li>Volunteers where appropriate</li> <li>Access points or bases</li> </ul>	YES	YES 900 words overall for the question	Weighted	18%
D2	Service user/carer question	How would you know and demonstrate that your organisation understands and responds to the needs of people in the area who need your support most, in a way that builds trust and confidence?	YES	YES 200 words	Weighted	3%
	Theme 1: Person-centred support.	<ul style="list-style-type: none"> <li>People are taken seriously as experts, and feel their potential and individual experiences are valued.</li> <li>Flexible and creative support where services are tailored to meet individual needs, based on lived experience</li> </ul>	YES	YES 200 words	Weighted	3%
	Preventative support which:	<ul style="list-style-type: none"> <li>Increases confidence and develops skills</li> <li>Works with other service providers to reduce isolation</li> </ul>				
	Theme 2: How the service is run in the target area	<ul style="list-style-type: none"> <li>Manager's get 'hands on' experience and learn from clients/carers</li> <li>Honest and reliable, pro-active and responsive</li> </ul>	YES	YES 200 words	Weighted	3%
	Theme 3: Involvement and networking	<ul style="list-style-type: none"> <li>Clients and carers are actively involved in the planning, running and evaluating of services which are working towards becoming user-led</li> <li>The service seeks to engage clients in volunteering or employ them as staff or peer supporters</li> </ul>	YES	YES 200 words	Weighted	3%

Evaluation Aspect			Mandatory	Compliance	Weighting	Max Score
	Theme 4: Information, communication and engagement	<ul style="list-style-type: none"> <li>• Networks are established to connect people</li> <li>• Communication is personal, accessible, timely and offered to people in the format they need</li> <li>• People feel listened to and able to make choices about their support</li> <li>• Local groups work together as partners, targeting people who are excluded</li> </ul>	YES	YES 200 words	Weighted	3%
<b>E: Costs</b>						<b>33%</b>
E1	Company accounts	Please upload your end of year accounts for the <b>last three full years</b> . By uploading your accounts you agree to the Authority taking up banker references should they wish to do so. If you are a new business, please provide your detailed business case.	YES	NO	Weighted	Pass/Fail/Refer
E2	Cash flow	Please provide a cash flow forecast for 1 year ahead for <b>your existing business</b> . To support your forecast please include a brief written summary explaining how you envisage the first year of operation in the new service to develop and how you may manage any foreseeable problems or constraints.	YES	NO	Weighted	Pass/Fail/Refer
E3	Finance template	Please upload the Finance Template (no obvious errors or omissions)	YES	NO	Weighted	Pass/Fail
E4	Finance template	Please explain the costs detailed within your finance template providing us with the story behind the costs including indirect costs and overheads.	YES	YES 200 words	Weighted	13%
E5	Value for money	Please explain how your service/project will demonstrate value for money in its delivery.	YES	YES 200 words	Weighted	10%
E6	Financing cost	The cost of your project	YES	NO	Weighted	10%
<b>TOTAL</b>						<b>100%</b>

The price element of this tender, E6 above, shall be scored on the basis of a maximum of 300 marks. The lowest price bid submission shall receive 300 marks. Other tender submissions shall receive a percentage that reflects the difference in the marks between those bid submissions and the bid submissions receiving the highest mark for price.

Where word count limits are exceeded, the panel will review the words *up to and including the limit* but discount the wording beyond this.

Please note that responses in one section will not be taken into account when reading other sections. If you want to make reference to something twice, please do not refer to previous or other sections in your responses.

# PART E: CONTRACT AWARD AND FUNDING

## 15. CONTRACT AWARDS & FUNDING ALLOCATION

### Duration of Contract

Contracts shall be awarded for a 3 year contract duration which is expected to commence on 6<sup>th</sup> January 2014, with a potential contract extension of up to two years (at 12 monthly intervals), dependent upon funding, performance and policy direction.

### Funding available is up to a total of £1.1million per year over 3 years

The funding agreements available through this Prospectus cover the period between 6<sup>th</sup> January 2014 and 5<sup>th</sup> January 2017.

It is expected that funding agreements will be for three years, subject to annual review and to successfully meeting the requirements of the commissioned service through the monitoring arrangements. The monitoring arrangements will be shared, discussed and finalised in consultation with service users and providers by the Commissioning Lead.

Some contracts may be offered for shorter periods, for example one or two years. This is where the activities or service funded are being awarded to test out something very new i.e. innovative ideas, and it would be inappropriate to commit to longer term funding until the outcomes and impact are clear.

All funding agreements are subject to the availability of monies provided to Herefordshire Council by central government, Herefordshire Clinical Commissioning Group and successor organisations. For this reason, the funding agreements will not include increases for inflation, and the amounts awarded may fluctuate depending on available financial resources. We will only make changes to funding agreements in consultation with you as the organisation holding the contract with us.

The amount of funding will vary according to the complexity of the objectives which your services are commissioned to meet. Therefore, the budget allocated to each objective may be flexible.

This prospectus describes the Council's intention to develop its personalisation offer for children and young people aged 0-19. It will work with providers to help them to:

- seek ways to become less reliant on public funds,
- open to finding new ways to deliver services which address unmet need and
- use more creative and sustainable funding models.

This will include being open to purchase of service by personal budget holders.

**We will make sure we offer support for this to both our parents and carers and our providers.**

## 16. MANAGING THE FUNDING AGREEMENT

### 16.1 Funding agreements

A funding agreement is similar to a service level agreement. It includes an overview of the agreement plus four sections.

Section 1 sets out the service specification agreed between the applicant and Herefordshire Council Lead Commissioner to deliver the outcomes specified in the Commissioning Prospectus.

Section 2 gives details of the finance and payment schedule.

Section 3 sets out responsibilities.

Section 4 provides the terms and conditions of the funding agreement.

### 16.2 Monitoring and review arrangements

All performance returns shall be made electronically to the Herefordshire Council's Children's Contract Team who will coordinate performance arrangements for each funding agreement.

You must provide electronic monthly and quarterly monitoring returns to Herefordshire Council's Children's Contract Team.

If all performance requirements are met the funding agreement will be reviewed annually in month nine (Quarter 3) of each year of the agreement. Where there are irregularities in performance we will require

you to produce an exceptions report which will set out how you will recover performance within an agreed period of time. We may need to hold additional meetings with you to help recover performance.

Monitoring of projects will include the following elements – these will be collected 6 monthly or annually, to be discussed at award of contract.

- A minimum data set which ensures the delivery of equitable services.

For example, postcode area, age of the children/young people accessing the service, ethnic groups, gender.

- Milestones and costs (based on your proposal).
- Case studies.
- DVDs or electronic files which show the children or young people involved in your activity.
- Scrap books with photos, written, visual evidence
- Satisfaction questions for service users and carers which have been developed through a partnership project with local service users, parents and carers.
- Performance indicators – overviewed in Section 9 for each commissioning objective including core performance indicators.
- A minimum 50% return on user and carer satisfaction questionnaires, to be agreed with the relevant commissioner; and
- A minimum of 85% user and carer satisfaction with the service.

Annual reviews will consider a summary of the above elements identifying how the organisation is providing an effective service.

### **16.3 Payment arrangements**

Payment for contracts will be made quarterly in arrears, subject to submission of monitoring information. There may be exceptions and this will be agreed on a case-by-case basis.

Payment will be made by BACS.

The responsibility to inform Herefordshire Council of a late payment rests with the organisation or group.

Organisations must submit their annual audited accounts to the Herefordshire Council's Children's Contract Team within three months of publication. Audited accounts will need to show the joint Herefordshire Council and Herefordshire Clinical Commissioning Group investment as 'restricted funds', and clearly identify Herefordshire Council and Herefordshire Clinical Commissioning Group as the funders. All funding relates to the period set out in the funding agreement and cannot be carried forward unless agreed by your commissioner.

### **16.4 Publicity requirements**

Successful applicants must publicise the support of Herefordshire Council and Herefordshire Clinical Commissioning Group to ensure that beneficiaries are aware that the service they receive is supported by Herefordshire Council and Herefordshire Clinical Commissioning Group. This includes any promotional material produced to promote the service as well as annual reports. It also includes participating in any directories to promote services, for example, in the Herefordshire Council online directory of services.

**Providers must achieve written consent from the Commissioner to publicity material prior to publishing.**

### **16.5 Suspension or repayment of the funding agreement**

In the event that Herefordshire Council is of the opinion that a serious breach of the agreement has occurred, the Council may deduct payment of the funding agreement for failure to provide services. We may arrange for a third party to provide the services, deduct funding to cover the costs, and terminate part of the services. We may also require repayment of any part of the funding agreement which has not been used to provide services set out in the funding agreement.

## 17. KEY DATES

	Timescale
Tender released on portal	16 <sup>th</sup> July 2013
Meet the Commissioner events – an opportunity to raise clarification questions in person with the commissioner (other questions can be sent in via the 'View Messages' button on Proactis)	Thursday 25 <sup>th</sup> July 2013 9.30-11.30 Committee Room 35 Hafod Rd, Hereford HR1 1SH  Thursday 12 <sup>th</sup> September 2013 Room 14, Blackfriars
Visits to Ledbury Road premises	<b>If you would like to arrange a visit to Ledbury Road Short Break Unit, please arrange this by emailing the request to PROACTIS</b>
Monitoring and evaluation meeting – an opportunity to meet with parents, providers and commissioners to develop and influence evaluation of the services	5 <sup>th</sup> September 2013 Room 14, Blackfriars
Closing date for tenders	5.00pm on 16 <sup>th</sup> September 2013
The evaluation process	23 <sup>rd</sup> September to 9 <sup>th</sup> October 2013
Amplification, Clarification and Negotiation	10 <sup>th</sup> and 11 <sup>th</sup> October, 2013
Approved providers selected and notified Unsuccessful providers notified	18 <sup>th</sup> October, 2013
Standstill period	22 <sup>nd</sup> October to 6 <sup>th</sup> November, 2013
Contracts commence	6 <sup>th</sup> January 2014

## 18. USEFUL CONTACTS

For general questions about the Prospectus or for clarifications to anything within this online tender, questions must be raised using the messaging tool found under the "View Messages" tab. Clarifications will be shared through the portal to all respondents to this tender, the names of the questioner and organisation shall remain anonymous to other organisations.

If you are a third sector organisation and would like some support, please contact:

HVOSS

**Herefordshire Voluntary Organisations Support Services (HVOSS)**

Fred Bulmer Centre

Wall Street

Hereford

HR4 9HP

Phone: 01432 343 932

Email: [hvoss@herefordshireva.org](mailto:hvoss@herefordshireva.org)

## 19. TUPE

The attention of bidders is drawn to the provisions of the European Acquired Rights Directive EC77/187 and TUPE (Transfer of Undertakings Protection of Employment Regulations). TUPE may apply to the transfer of the contract from the present supplier to the new one, giving the present supplier's staff the right to transfer to the employment of the successful bidder on the same terms and conditions. The above does not apply to the self-employed.

Bidders are advised to form their own view on whether TUPE applies, obtaining their own legal advice as necessary.

The successful bidder(s) will be required to indemnify Herefordshire Council and Herefordshire CCG commissioner(s) against all possible claims under TUPE.

It is a further requirement that the successful bidder(s) will pass on all details of their own workforce towards the end of the contract period so that this information can be passed to other bona fide suppliers to enable them to assess their obligations under TUPE in the event of a subsequent transfer.

Bidders' attention is drawn to the Cabinet Office's Principles of Good Employment Practice which has replaced the Code of Practice on Workforce Matters in Public Sector Service Contracts 2003.



## GLOSSARY

Adult Social Care	The Council department responsible for assessing need and planning, commissioning and putting in place services for adults with care and support needs. Formerly known as Social Services.
Beneficiary	A person who benefits from a service, for example, a service user or carer.
BME	Black and Minority Ethnic – a term used to describe those who define themselves as any ethnic group other than White British
Carer	A person who spends a significant proportion of their life providing unpaid support to family or friends. This could be caring for a relative, partner or friend who is ill, frail, disabled, or who has mental health or substance misuse problems.
Children's Services Department	The Council department responsible for assessing need and planning, commissioning and putting in place services for children and young people to improve their outcomes – including education and learning, social care services, and health services in partnership with the NHS.
Disability	The Disability Discrimination Act 1995 (DDA) makes it unlawful to discriminate against disabled people in connection with employment, provision of goods, facilities and services, access to and around buildings, education and transport. The DDA 2005 amends the 1995 Act and places a duty on the public sector to actively look at ways to ensure equality is positively promoted internally and externally.
Diversity	The promotion of inclusiveness by ensuring that everyone is valued as a unique individual, and celebrating their differences.
Funding agreement	A service level agreement.
LGBT	Lesbian, gay, bisexual and transgender, or people who adopt one or more of their identities.
Local NHS	Herefordshire Primary Care Trust and Herefordshire Clinical Commissioning Group
Milestone	A key success or achievement that indicates progress towards delivering the objective.
Objective	Specific things that will be done to deliver an outcomes.
Outcome	The desired impact (the things that will be different) for beneficiaries as a result of delivering the service.
Output	A tangible or quantifiable product or result of an activity that can have a value in itself and/or lead to the desired objective or outcome.
Personalisation and personalised support	Where services are tailored to meet needs and deliver outcomes centred around the individual.
Prevention	Support available, at an early stage, to help people stay independent for as long as possible. This can be targeted at specific people or be more universally accessible. It includes things like helping people to safely maintain their home and garden, training to help get a job or return to work, or support to start taking some exercise.
Seldom heard or seldom-seen groups	Black and ethnic-minority groups, lesbian, gay, bisexual and transgender people, homeless people, gypsies and travelers.
Social capital	See Section 5
Social model of disability	The understanding that society causes barriers and problems for disabled people and that these problems are located in society, not the person and their impairment. People's impairments matter. The model explains the type of inequality experienced by disabled people. For example, there are four major types of barriers: <ul style="list-style-type: none"> <li>• Physical or environmental</li> <li>• Organizational (policies and practices)</li> <li>• Communication or information</li> <li>• People's attitudes</li> </ul>
Social return on investment	A broader concept of value that incorporates the consideration of social, environmental and economic costs and benefits.
Target	A specific and measurable activity that will help deliver an objective.
Third sector	Also referred to as the voluntary and community sector
Universal services	Mainstream services, for example, leisure, learning and general advice services that are accessible to everybody, including people who need social care and support.





<b>MEETING:</b>	<b>CABINET – CORPORATE &amp; ASSETS</b>
<b>MEETING DATE:</b>	<b>21 NOVEMBER 2013</b>
<b>TITLE OF REPORT:</b>	<b>Executive Rolling Programme</b>
<b>REPORT BY:</b>	<b>Head of Governance</b>

## 1. Classification

Open

## 2. Key Decision

This is not a key decision.

## 3. Wards Affected

County-wide

## 4. Purpose

To review the Executive Rolling Programme.

## 5. Recommendation(s)

THAT:

- (a) the Executive Rolling Programme be reviewed and any proposed amendments be advised;
- (b) consideration be given to identifying any elements for referral to the relevant Overview and Scrutiny Committee; and
- (c) the Executive Rolling Programme be scheduled for future review by Cabinet on a quarterly basis.

## 6. Alternative Options

6.1 There are no Alternative Options; the Executive Rolling Programme is maintained to ensure that Members and the public are aware of planned decisions.

## 7. Reasons for Recommendations

7.1 To support transparency of decision-making.

## 8. Key Considerations

8.1 Whilst there is no requirement for Cabinet to publish or review the Executive Rolling Programme, it is the key tool by which the overall business of executive decision making can be managed and publicised. Cabinet are therefore invited to review the current programme, at Appendix A to the report, and identify any areas for amendment. It is also open to Cabinet to identify any specific items they would wish to refer to the relevant Overview and Scrutiny Committee to consider so that their views are able to inform future decision-making.

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Further information on the subject of this Report is available from  
John Jones, Head of Governance on Tel (01432) 260222

## **9. Community Impact**

- 9.1 Publicising decisions to be taken in the future will support greater engagement of members and the public in decision-making, and enable a greater understanding of the broader work of the council.

## **10. Equality and Human Rights**

- 10.1 The Executive Rolling Programme identifies decisions to be taken by the Executive; these items will need, at the time of decision-making, to consider whether there are implications in relation to the authority's public sector equality duty.

## **11. Financial Implications**

- 11.1 None

## **12. Legal Implications**

- 12.1 Whilst there is a requirement under Part 3, Section 9 (Publicity in connection with key decisions) of The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 to give 28 days' notice of key decisions, there is no similar requirement to publicise other decisions to be taken by the Council.

## **13. Risk Management**

- 13.1 None

## **14. Consultees**

- 14.1 None

## **15. Appendices**

- 15.1 Appendix A – Executive Rolling Programme

## **16. Background Papers**

- 16.1 None identified.

Executive Decisions to be taken – November 2013

<b>DECISION MAKER CABINET</b>				
Meeting / Decision Date (on or after)	Issue Type	Purpose & Report Title	Portfolio Holder	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
21/11/13	Non Key	Integrated Corporate Performance Report Q2	Corporate Services – Councillor PM Morgan	Economy, Communities & Corporate /
21/11/13	Non Key	Budget Monitoring Report	Corporate Strategy & Finance – Councillor AW Johnson, Leader of the Council	Economy, Communities & Corporate /
21/11/13	<b>KEY</b>	To report the financial position for both Revenue and Capital. Children with Disabilities: Short Breaks and Respite Service Provision To approve funding commitment over £500,000 to new contracts	Young People & Children's Wellbeing – Councillor J Millar	Children's Wellbeing / Philippa Granthier <a href="mailto:pgranthier@herefordshire.gov.uk">pgranthier@herefordshire.gov.uk</a>

<b>DECISION MAKER CABINET MEMBER CONTRACTS &amp; ASSETS COUNCILLOR H BRAMER</b>				
Decision Date (on or after)	Issue Type	Purpose & Report Title		Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker

<b>DECISION MAKER CABINET MEMBER CORPORATE SERVICES COUNCILLOR PM MORGAN</b>				
Decision Date (on or after)	Issue Type	Purpose & Report Title		Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker

<b>DECISION MAKER CABINET MEMBER CORPORATE STRATEGY &amp; FINANCE: COUNCILLOR AW JOHNSON, LEADER OF THE COUNCIL</b>				
Decision Date (on or after)	Issue Type	Purpose & Report Title		Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
TBC	Non Key	Retail Impact Study Notice of Motion Response To consider and formally respond to the resolution agreed under the Notice of Motion on 20 July 2012 by Cllr MAF Hubbard and Cllr RI Matthews.		Economy, Communities & Corporate / Nadine Kinsey
TBC	Non key	Mary Portas Study Notice of Motion Response To consider and formally respond to the actions submitted in the Notice of Motion on 20 <sup>th</sup> July by Cllrs E Harvey, AM Atkinson, MAF Hubbard, JLV Kenyon and FM Norman.		Economy, Communities & Corporate / Nadine Kinsey

<b>DECISION MAKER CABINET MEMBER HEALTH &amp; WELLBEING COUNCILLOR GJ POWELL</b>				
Decision Date (on or after)	Issue Type	Purpose & Report Title		Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker

**CABINET MEMBER INFRASTRUCTURE  
COUNCILLOR PD PRICE**

Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
TBC	<b>KEY</b>	Increasing income from parking – On Street Charging in Hereford	Economy, Communities & Corporate / Steve Burgess <a href="mailto:sburgess@herefordshire.gov.uk">sburgess@herefordshire.gov.uk</a>
TBC	<b>KEY</b>	Managed and Secure Printing for Multi-Functional Devices (Printers)	Economy, Communities and Corporate / Wayne Weisby
TBC	Non key	To obtain approval for new contractual arrangements for the supply of Multi-Functional Devices (Printers) Local Development Scheme – Annual Review	<a href="mailto:wweisby@herefordshire.gov.uk">wweisby@herefordshire.gov.uk</a> Economy, Communities and Corporate
		To seek approval the annual review of the Local Development Scheme, September 2013 prior to its submission to the Secretary of State.	

**DECISION MAKER  
CABINET MEMBER YOUNG PEOPLE & CHILDREN'S WELLBEING:  
COUNCILLOR JW MILLAR**

Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker

**Other Meetings – November 2013**

<b>AUDIT &amp; GOVERNANCE COMMITTEE</b>			
Meeting Date	Purpose & Report Title	Portfolio Holder	Directorate, Lead Officer & Contact information
26/11/13	Standards Panel Report To make recommendations to the A & G Committee in respect of complaints against two members, which have been considered by the standards panel		Economy, Communities and Corporate
26/11/13	Standards Panel Report To make recommendations to the A & G Committee for reviewing the current system of dealing with code of conduct complaints made against councillors		Economy, Communities and Corporate
26/11/13	Biannual forecasts of revenue and capital outturn	N/A	Corporate Services / Peter Robinson
26/11/13	Whistle Blowing Policy – Biennial Review	Corporate Strategy & Finance/Leader – Councillor AW Johnson	Economy, Communities & Corporate /
TBC	Counter-fraud and Corruption Policies – Biennial Review	Corporate Strategy & Finance/Leader – Councillor AW Johnson	Economy, Communities & Corporate /

**Scrutiny Work Programmes – November 2013**

<b>GENERAL OVERVIEW AND SCRUTINY COMMITTEE ITEMS – NOVEMBER 2013</b>			
MEETING/ BRIEFNG DATE	ITEM	PURPOSE	O&S PRE-DECISION PRIOR TO: A&G Committee Cabinet Council Meeting Date
11 November 2013	Budget Monitoring Update	To receive a presentation from s151 Officer on the Budget	
11 November 2013	Freedom of Information and Arms Length Companies – an update	To receive a report on an allegation that the members of General Scrutiny were misled by the original report on 4 March	

HEALTH AND SOCIAL CARE OVERVIEW AND SCRUTINY COMMITTEE ITEMS – NOVEMBER 2013			
MEETING/ BRIEFNG DATE	ITEM	PURPOSE	O&SC PRE-DECISION PRIOR TO: A&G Committee Cabinet Council
7 November 2013	Recovery Plan for Children Safeguarding	To receive a progress report on the Action Plan	
7 November 2013	Work Programme	To consider the Committee's Work Programme	

Executive Rolling Programme: December 2013

Executive Decisions to be taken – December 2013

DECISION MAKER CABINET			
Meeting / Decision Date (on or after)	Issue Type	Purpose & Report Title	Portfolio Holder
12/12/13  (deferred from 4/10/13)	<b>KEY</b>	Waste Management Contract  <i>To consider concluding a variation to the waste management contract with Mercia Waste to enable the construction of an Energy from Waste Plant at Hartlebury and other ancillary matters.</i>	Contracts & Assets – Councillor H Bramer  <a href="mailto:aet@herefordshire.gov.uk">aet@herefordshire.gov.uk</a> Economy, Communities & Corporate / Andy Tector
DECISION MAKER CABINET			
Meeting / Decision Date (on or after)	Issue Type	Purpose & Report Title	Portfolio Holder
19/12/13	<b>KEY</b>	Open Book Review of Residential and Nursing Home Fees for Older People	Young People & Children's Wellbeing – Councillor JW Millar  <a href="mailto:helen.coombes@herefordshire.gov.uk">helen.coombes@herefordshire.gov.uk</a>
19/12/13	Non Key	Budget Monitoring Report  <i>To report the financial position for both Revenue and Capital.</i>	Corporate Strategy & Finance – Councillor AW Johnson, Leader of the Council  <a href="mailto:Peter.Robinson@herefordshire.gov.uk">Peter.Robinson@herefordshire.gov.uk</a>
19/12/13	Non Key	Herefordshire Council Safeguarding Arrangements for Children: Nine Month Review Report for Department for Education  <i>To inform members on the progress of improvement planning in children's safeguarding resulting from the self-evaluation undertaken and reported to the Department of Education in July, 2013 in relation to the Herefordshire Safeguarding and Protecting Children Improvement Plan.</i>	Children's Wellbeing / Julie Rzezniczek  <a href="mailto:julie.rzezniczek@herefordshire.gov.uk">julie.rzezniczek@herefordshire.gov.uk</a>
19/12/13	<b>KEY</b>	Adults Wellbeing Transformation Programme 2014/15  <i>To gain approval from Cabinet for the Adults Wellbeing transformation programme, its scope of work and its structure</i>	Adults' Wellbeing / Helen Coombes  <a href="mailto:helen.coombes@herefordshire.gov.uk">helen.coombes@herefordshire.gov.uk</a>
19/12/13	<b>B&amp;PF</b>	Council Tax Discount Scheme and NNDR Discretionary Relief  <i>To agree revisions to the current schemes.</i>	Peter Robinson – Chief Officer Finance
19/12/13	<b>KEY</b>	Changes to Herefordshire Schools and Post 16 Transport Policy  <i>To consider changes to the Council's home to school transport policy such that it provides the statutory minimum requirement of free transport and;</i>	Children's Wellbeing / Andy Hough
19/12/13	<b>KEY</b>	<i>To consider changes to the Council's school transport policy such that post 6 SEN students pay the same charge as all other students</i>	
19/12/13	<b>KEY</b>	European Structural and Investment Fund Strategy 2014-2020	Corporate Strategy & Finance – Economy, Communities and Corporate / Nick Webster



	To obtain Cabinet approval for the final draft submission of the Marches European Structural and Investment Fund Strategy 2014-2020.	Councillor AW Johnson, Leader	
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<b>DECISION MAKER</b>			
<b>CABINET MEMBER CONTRACTS &amp; ASSETS</b>			
<b>COUNCILLOR H BRAMER</b>			
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
12/12/13	<b>KEY</b>	Countryside Service Review	Economy, Communities and Corporate / Steve Burgess
12/12/13	<b>KEY</b>	To agree proposals to generate income and move towards a financially sustainable service. Withdrawal of Arts Commissioning Grants	<a href="mailto:sburgess@herefordshire.gov.uk">sburgess@herefordshire.gov.uk</a> Economy, Communities and Corporate / Mick Ligema
12/12/13	<b>KEY</b>	To consider the withdrawal of Commissioning Grants for arts organisations Funding for Lady Hawkins and Wigmore Leisure Centres	Economy, Communities and Corporate / Mick Ligema
13/12/13	<b>KEY</b>	To consider the withdrawal of funding for Lady Hawkins and Wigmore Leisure Centres Future Trust Arrangements for Museum Services	Economy, Communities and Corporate / Mick Ligema
13/12/13	<b>KEY</b>	To consider the proposal for moving Museum Services into Trust status Closure of public facing Museum Services	Economy, Communities and Corporate / Mick Ligema / Elizabeth Semper O'Keefe
19/12/13	<b>KEY</b>	To consider further service reductions for the public facing Museums Service Disposal of Brockington	Economy, Communities and Corporate / Tony Featherstone
19/12/13	<b>KEY</b>	To approve disposal of Brockington as part of the overall disposal strategy supporting the approved Accommodation Programme. Halo Leisure Prudential Borrowing Programme	Economy, Communities & Corporate / Mick Ligema <a href="mailto:miligema@herefordshire.gov.uk">miligema@herefordshire.gov.uk</a>
19/12/13	<b>KEY</b>	To support Halo Prudential Borrowing for investment programme at Hereford Leisure Centre, Hereford Leisure Pool, Leominster Leisure Centre, Ledbury Swimming Pool, Ross-on-Wye Swimming Pool and Photo-voltaic investment. To approve in principle the allocation of capital expenditure funded by prudential borrowing for a capital investment and improvement programme at leisure facilities managed by Halo Leisure.	
<b>DECISION MAKER</b>			
<b>CABINET MEMBER CORPORATE SERVICES</b>			
<b>COUNCILLOR PM MORGAN</b>			
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
<b>DECISION MAKER</b>			
<b>CABINET MEMBER CORPORATE STRATEGY &amp; FINANCE:</b>			
<b>COUNCILLOR AW JOHNSON, LEADER OF THE COUNCIL</b>			
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
19/12/13	<b>KEY</b>	Approval for the construction of business units within the Enterprise Zone To seek approval for the construction of new business units on Plot C21 of the Hereford Enterprise Zone to facilitate business investment and job creation.	Economy, Communities and Corporate / Mark Pearce, Enterprise Zone Managing Director
<b>DECISION MAKER</b>			
<b>CABINET MEMBER HEALTH &amp; WELLBEING</b>			
<b>COUNCILLOR GJ POWELL</b>			
Decision Date	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker

(on or after)			
<b>DECISION MAKER CABINET MEMBER INFRASTRUCTURE COUNCILLOR PD PRICE</b>			
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
6/12/13	Non Key	Development Management – Review of charging for pre-application advice  <i>To review the operation of the system for the charging of pre-application planning advice including the level of charges</i>	Economy, Communities and Corporate / Marc Willimont
<b>DECISION MAKER CABINET MEMBER YOUNG PEOPLE &amp; CHILDREN'S WELLBEING: COUNCILLOR JW MILLAR</b>			
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker

### Scrutiny Work Programmes – December 2013

GENERAL OVERVIEW AND SCRUTINY COMMITTEE ITEMS – DECEMBER 2013			
MEETING/ BRIEFNG DATE	ITEM	PURPOSE	O&SC PRE-DECISION PRIOR TO: A&G Committee Cabinet Council
9 December 2013	Financial Inclusion	To consider how payday loans and changes to the council tax regime are affecting financial inclusion. To include an update on Moneybox Credit Union.	
9 December 2013	School Examination Performance	To consider the examination performance in Herefordshire Schools.	
9 December 2013	Task and Finish Review	To consider the findings and recommendations from the task and finish group review into cultural services.	

HEALTH AND SOCIAL CARE OVERVIEW AND SCRUTINY COMMITTEE ITEMS – DECEMBER 2013			
MEETING/ BRIEFNG DATE	ITEM	PURPOSE	O&SC PRE-DECISION PRIOR TO: A&G Committee Cabinet Council
6 December 2013	Work Programme	To consider the Committee's Work Programme	

Executive Rolling Programme: January 2014

Executive Decisions to be taken – January 2014

DECISION MAKER CABINET			
Meeting / Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
23/1/14		<i>Budget proposals</i>	
23/1/14	<b>KEY</b>	Transport and Travel Review – Preferred Network Option	Economy, Communities & Corporate / Steve
		Portfolio Holder	Health & Wellbeing – Councillor GJ Powell

		To agree a preferred arrangement for public transport and education transport service integration.		Burgess <a href="mailto:sburgess@herefordshire.gov.uk">sburgess@herefordshire.gov.uk</a>
<b>DECISION MAKER CABINET MEMBER CONTRACTS &amp; ASSETS COUNCILLOR H BRAMER</b>				
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker	
<b>DECISION MAKER CABINET MEMBER CORPORATE SERVICES COUNCILLOR PM MORGAN</b>				
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker	
<b>DECISION MAKER CABINET MEMBER CORPORATE STRATEGY &amp; FINANCE: COUNCILLOR AW JOHNSON, LEADER OF THE COUNCIL</b>				
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker	
On or after 6 January 2014	<b>KEY</b>	Revision to the Current Council Tax Reduction Scheme Provides an update on the current CTRS and recommends further changes to the current Scheme that will achieve additional revenue for the Council	Peter Robinson – Chief Officer Finance	
<b>DECISION MAKER CABINET MEMBER HEALTH &amp; WELLBEING COUNCILLOR GJ POWELL</b>				
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker	
TBC	Non Key	Preventing Homelessness Strategy 2013-2016 <i>To focus on preventing homelessness in Herefordshire</i>	Economy, Communities & Corporate / Richard Gabb <a href="mailto:rgabb@herefordshire.gov.uk">rgabb@herefordshire.gov.uk</a>	
<b>DECISION MAKER CABINET MEMBER INFRASTRUCTURE COUNCILLOR PD PRICE</b>				
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker	
<b>DECISION MAKER CABINET MEMBER YOUNG PEOPLE &amp; CHILDREN'S WELLBEING: COUNCILLOR JW MILLAR</b>				
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker	



Meeting / Decision Date (on or after)	Issue Type	Purpose & Report Title	Portfolio Holder	Directorate, Lead Officer & Contact information/report to be submitted to Decision Maker
17/01/14	BPF	Revision to the Current Council Tax Reduction Scheme Provides an update on the current CTRS and recommends further changes to the current Scheme that will achieve additional revenue for the Council		Peter Robinson – Chief Officer Finance
17/01/14	BPF	Council Tax Discount Scheme and NNDR Discretionary Relief To agree revisions to the current schemes.		Peter Robinson – Chief Officer Finance
17/01/14	Non Key	Leader's Report To receive the Leader's report, which provides an overview of the Executive's activity since the last Council meeting.	Corporate Strategy & Finance/Leader – Councillor AW Johnson	Economy, Communities & Corporate / Annie Brookes <a href="mailto:ab1@herefordshire.gov.uk">ab1@herefordshire.gov.uk</a>
17/01/14	B&PF	Review of Gambling Act Policy To consider implementing new policy		Economy, Communities & Corporate / Claire Corfield <a href="mailto:clcorfield@herefordshire.gov.uk">clcorfield@herefordshire.gov.uk</a>
17/01/14	N/A	Review of Licensing Act Policy To consider implementing new policy		Economy, Communities & Corporate / Claire Corfield <a href="mailto:clcorfield@herefordshire.gov.uk">clcorfield@herefordshire.gov.uk</a>
17/01/14	N/A	Introduction of a Sex Establishment Policy To consider implementing new policy		Economy, Communities & Corporate / Claire Corfield <a href="mailto:clcorfield@herefordshire.gov.uk">clcorfield@herefordshire.gov.uk</a>
17/01/14	N/A	Review of Gypsy and Traveller Policy To consider implementing new policy		Economy, Communities & Corporate / Claire Corfield <a href="mailto:clcorfield@herefordshire.gov.uk">clcorfield@herefordshire.gov.uk</a>
17/01/14	N/A	Waste Contract	Contracts & Assets – Councillor H Bramer	Economy, Communities & Corporate / Andy Tector <a href="mailto:aet@herefordshire.gov.uk">aet@herefordshire.gov.uk</a>
17/01/14	Non Key	Appointments to Council Committees	Corporate Services – Councillor PM Morgan	Economy, Communities & Corporate / John Jones <a href="mailto:jjones4@herefordshire.gov.uk">jjones4@herefordshire.gov.uk</a>
17/01/14	N/A	Designation and appointment of Monitoring Officer, and Returning Officer		Deputy Monitoring Officer – Annie Brookes <a href="mailto:ab1@herefordshire.gov.uk">ab1@herefordshire.gov.uk</a>

## AUDIT & GOVERNANCE COMMITTEE

Meeting Date	Purpose & Report Title	Portfolio Holder	Directorate, Lead Officer & Contact information
14/1/14			

## Scrutiny Work Programmes – January 2014

GENERAL OVERVIEW AND SCRUTINY COMMITTEE ITEMS – JANUARY 2014		
MEETING/ BRIEFNG DATE	ITEM	PURPOSE
6 January 2014	Fire Service Consultation	To receive the task and finish group responses to the fire service consultation and to approve those recommendations for submission to the fire service.
		O&SC PRE-DECISION PRIOR TO: A&G Committee Meeting Date Cabinet Council

HEALTH AND SOCIAL CARE OVERVIEW AND SCRUTINY COMMITTEE ITEMS – JANUARY 2014		
MEETING/ BRIEFNG DATE	ITEM	PURPOSE
17 January 2014		
		O&SC PRE-DECISION PRIOR TO: A&G Committee Cabinet Council
		Meeting Date

Executive Rolling Programme: February 2014

Executive Decisions to be taken – February 2014

DECISION MAKER CABINET				
Meeting / Decision Date (on or after)	Issue Type	Purpose & Report Title	Portfolio Holder	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
13/2/14	Non Key	Budget Monitoring Report	Corporate Strategy & Finance – Councillor AW Johnson, Leader of the Council	Economy, Communities & Corporate /
13/2/14	Non Key	<i>To report the financial position for both Revenue and Capital</i> Integrated Corporate Performance Report	Corporate & Assets – Councillor PM Morgan	Organisation Development Team / Jenny Lewis <a href="mailto:ilewis3@herefordshire.gov.uk">ilewis3@herefordshire.gov.uk</a>

120

DECISION MAKER CABINET MEMBER CONTRACTS & ASSETS COUNCILLOR H BRAMER			
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
DECISION MAKER CABINET MEMBER CORPORATE SERVICES COUNCILLOR PM MORGAN			
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
DECISION MAKER CABINET MEMBER CORPORATE STRATEGY & FINANCE: COUNCILLOR AW JOHNSON, LEADER OF THE COUNCIL			
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
DECISION MAKER CABINET MEMBER HEALTH & WELLBEING COUNCILLOR GJ POWELL			
Decision Date (on or after)	Issue Type	Purpose & Report Title	Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker

<b>DECISION MAKER</b>		
<b>CABINET MEMBER INFRASTRUCTURE</b>		
<b>COUNCILLOR PD PRICE</b>		
Decision Date (on or after)	Issue Type	Purpose & Report Title
		Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
<b>DECISION MAKER</b>		
<b>CABINET MEMBER YOUNG PEOPLE &amp; CHILDREN'S WELLBEING:</b>		
<b>COUNCILLOR JW MILLAR</b>		
Decision Date (on or after)	Issue Type	Purpose & Report Title
		Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker

Other Meetings – February 2014

<b>DECISION MAKER</b>			
<b>COUNCIL</b>			
Meeting / Decision Date (on or after)	Issue Type	Purpose & Report Title	Portfolio Holder
7/2/14	B&PF	Medium Term Financial Strategy	Corporate Strategy & Finance – Councillor AW Johnson, Leader of the Council
7/2/14	B&PF	Pay Policy Statement	Corporate Strategy & Finance – Councillor AW Johnson, Leader of the Council
			Directorate, Lead Officer & Contact information for documents/report to be submitted to Decision Maker
			Economy, Communities & Corporate / Economy, Communities & Corporate /

<b>AUDIT &amp; GOVERNANCE COMMITTEE</b>	
Meeting Date	Purpose & Report Title
18/2/14	Portfolio Holder
	Directorate, Lead Officer & Contact information

Scrutiny Work Programmes – February 2014

<b>GENERAL OVERVIEW AND SCRUTINY COMMITTEE ITEMS – FEBRUARY 2014</b>		
MEETING/ BRIEFNG DATE	ITEM	PURPOSE
10 February 2014	Budget	<ul style="list-style-type: none"> <li>To receive the recommendations of the task and finish group on the 2014/2015 Budget</li> <li>To receive and comment on the 2014/15 Budget</li> </ul>
		O&SC PRE-DECISION PRIOR TO: A&G Committee Cabinet Council

<b>HEALTH AND SOCIAL CARE OVERVIEW AND SCRUTINY COMMITTEE ITEMS – FEBRUARY 2014</b>		
MEETING/ BRIEFNG DATE	ITEM	PURPOSE
14 February 2014		
		O&SC PRE-DECISION PRIOR TO: A&G Committee Cabinet Council

